

State of California Department of Finance



Budget Information System Business Process Re-engineering

**Transition Report
Final**

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INTRODUCTION

Business Process Reengineering (BPR) consists of identifying how business processes currently work, then designing changes to these processes to drive improvements in how an organization operates. For the Budget Systems Development Unit (BSDU) reengineering initiative, Finance has performed both of these steps. The 2002 “As-Is” Report describes how budget development and administration currently is performed within Finance. The August 2004 “To-Be” Report proposes how Finance will use the BIS to perform budget development and administration processes in the future. Together, these two documents represent critical components of the BSDU BPR project.

However, a BPR is incomplete without a strategy for moving from the current “As-Is” business process model to the future “To-Be” business process model. The BIS transition plan, documented in this report, describes, at a high level, how Finance will implement the changes recommended in the “To-Be” Report.

The Transition Plan defines the sequence, timing, effort, and strategies for moving the “As-Is” business processes to the “To-Be” business processes. The Plan is based on the BSDU's analysis of differences or gaps between the “As-Is” and “To-Be” process models.

A gap analysis is the foundation for Transition Plan activities. The analysis is conducted to determine and document differences in how functions are performed in the current environment versus how they will be conducted in the future environment, if at all. The gap analysis is a structured comparison of the “As-Is” process model and the “To-Be” process model, highlighting where future budget development processes must be created, changed or improved, including organizational changes, policy changes, and the use of new technologies. Based on the gap analysis, the BSDU Team identified the specific types of changes that must be made to realize the vision of the “To-Be” model.

THE GAP ANALYSIS APPROACH

The following sections describe the gap analysis between the “As-Is” process model and the “To-Be” process model. Specifically, this document identifies impacts in the following areas:

- Finance Process Change
- External Stakeholder Process Change
- Policy Impact
- Computer Systems
- Document Handling and Imaging
- Forms and Correspondence
- Organizational Impact

The gap analysis was used to identify, at a high-level, any possible “To-Be” process fit or gap impacts that need to be addressed during the transition from the “As-Is” to the “To-Be”. The results of this analysis were recorded in a table organized by core legacy “As-Is” processes, as illustrated by the following diagram.

“As-Is” / Legacy Process Functionality	“To-Be” Process Functionality	DOF Process Change	External Stakeholder Process Change	Policy Impact	Computer System	Document Handling/ Imaging	Forms/ Correspondence	Organizational Impact
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The first column in the table describes current functionality documented in the “As-Is” Process Model Report. The second column identifies the process in which the “To-Be” processes supply similar functionality.

The subsequent columns are a result of a comparison between the “As-Is” process functionality and the “To-Be” process functionality. Gaps were assessed against seven areas, each of which is described in the following text. Each area represents an aspect of the “To-Be” process that could be impacted by transitioning from the current “As-Is”. An “X” designation was identified during the analysis: “X” designates that transition from the “As-Is” to the “To-Be” will have an impact that should be considered by Finance. A blank indicates the BSDU Team’s perspective that there will be no related impact. Processes with an “X” designation have a comment provided to describe the impact under a “Comments” column.

- **Finance Process Change** consists of process changes affecting Finance in the following areas:
 - ✓ Transaction received or provided in a different medium
 - ✓ Cycle or transaction change (i.e., real time instead of batch, daily instead of once a year)
 - ✓ New or changed workload
 - ✓ New reports
 - ✓ Change in procedures
 - ✓ New interface/communication methods with stakeholders/partners/customers
- **External Stakeholder Process Change** consists of process changes affecting Stakeholders in the following areas:
 - ✓ Transaction received or provided in a different medium
 - ✓ Cycle or transaction change (i.e., real time instead of batch, daily instead of once a year)
 - ✓ New or changed workload
 - ✓ New reports
 - ✓ Change in policies and procedures
 - ✓ New interface/communication methods

- **Policy Impact** strategy consists of process changes that require a change to the following:
 - ✓ State Administrative Manual (SAM)
 - ✓ Statewide Information Management Manual (SIMM)
 - ✓ Policy change, such as delegated authority changes
 - ✓ Statutes
- **Computer Systems** analysis consists of process changes requiring a change to, or impacted by, computer systems and technology. Analysis considered the following areas:
 - ✓ New computer-based functions
 - ✓ New equipment/technology
 - ✓ New automated functions
- **Document Handling/Imaging** consists of process changes being supported by future document handling and imaging capabilities. The following were considered during the analysis:
 - ✓ Criteria for archiving documents
 - ✓ Electronic storage requirements
 - ✓ Changes in the medium/media used for storing/archiving
 - ✓ Potential conversion
- **Forms and Correspondence** strategy consists of process changes impacting current forms and correspondence. This analysis considered the current paper-based forms being used and the impacts of eliminating these forms or converting them to an electronic medium, including:
 - ✓ Change in forms used
 - ✓ Change in form design (integration or elimination of information)
 - ✓ Use of new online forms
- **Organization Impact** plan consists of changes impacting the current Finance organization. The following were considered during analysis:
 - ✓ A change in location where a process may occur
 - ✓ New function/responsibilities
 - ✓ Changes in workload
 - ✓ Shift in Finance's organizational structure
 - ✓ New skills or training required to support the process

TRANSITION PLAN ANALYSIS APPROACH

The transition plan analysis defines the strategies, sequence, and timing needed to move the "As-Is" business processes to the "To-Be" business processes. The gap analysis results were key input to this analysis and used to analyze each of the seven gap areas by evaluating impact areas such as the following:

- Change description and implication – a brief description of the new process and what the change will mean to staff or stakeholder activities.
- Steps and activities needed to support the change prior to the BIS project being formally launched.

- Risk factors and Contingencies – discussion of possible constraints or roadblocks to implementing the change.
- Resources needed to implement the business process change.
- Dependencies on any other change components, initiatives, activities, or resources.
- Sponsor of the change – person or persons who will have the final say on organizational issues for this process.

The transition plan analysis focused on “what” must be done – not on the “how” to get them done. Details for each of the seven areas are presented later in this report.

GAP ANALYSIS

This section discusses the gap analysis that provides the foundation of the Transition Plan.

GAP ANALYSIS CONSIDERATIONS

The following elements from the “To-Be” Report are integral to the transition planning efforts and are presented below for easy reference.

KEY FEATURES OF THE “TO-BE” MODEL

The following are representative key features of the redesigned processes as indicated in the “To-Be” conceptual model.

- Multiple legacy systems and spreadsheets are replaced with a single system with broad functionality including workflow, issue management, document management, report development capability, etc.
- Much data input will devolve to departments for electronic submittal to Finance.
- External stakeholders [legislative staff, Legislative Analyst’s Office (LAO), departments] will have access to BIS functions and reporting capabilities based on security authorizations.
- Workflow will be used to support the review and approval within and between departments, agencies and Finance. Electronic signatures will be used by Finance for approvals and notifications, and departments/agencies to submit Budget Change Proposals (BCP), Finance Letters, Section Letters, etc.
- Finance will publish all budget documents to the web – hardcopies will only be available on an exception basis.
- The use of paper and manual work necessary to package and forward budget information, i.e., Finance Letters, BCPs, veto messages, and budget bill language sheets, to external stakeholders, will be eliminated.
- An electronic interface will exist between Finance and other stakeholders [i.e., State Controller’s Office (SCO), LAO, etc.] to electronically exchange data such as appropriation information from the final Budget Act and revisions to expenditure authority, actual expenditure and revenue information, and position information.

CHANGE IMPLICATIONS

The “To-Be” model articulates improvements so that the current paper-intensive and manual budget development and administration processes are more seamless processes enabled by the effective application of technology. Key systems and data will be integrated, the need to reconcile multiple sources of data will be significantly reduced, and efficiencies will be gained to free up resources for higher value analysis activities. To achieve these improvements Finance must recognize that changes to the current

processes and procedures are necessary. Change implications inherent to the recommended “To-Be” model include the following:

- Moving the data entry activities to the earliest point in the process may result in a potential shift of data entry workload to departments, agencies, the Legislature and other stakeholders. Departments, agencies and stakeholders must be willing and able to absorb this responsibility and Finance will need to ensure that adequate training programs are established and the appropriate levels of training are provided.
- Data validation that occurs at the earliest point in the process means that departments, agencies and other stakeholders will be responsible for not only entering data, but also correcting any identified incorrect data. This helps to ensure that budget related data is complete, consistent with requirements, and is in the appropriate format. It also eliminates the need for Finance to process, maintain and store paper-based supporting documents. However, departments, agencies and stakeholders must be willing and able to absorb this responsibility based on established business rules.
- Since most budget-related data and supporting documentation will be maintained electronically, a high level of confidence in that data is required. It also implies that not only will training be necessary to understand the processes and data maintained in the system, but also that Finance will need to address change management issues to ensure that staff successfully adopt this principle.
- Minimizing the need to produce, publish, and store paper-based documents provides great overall benefits to Finance, but will require outreach and educational processes to facilitate an understanding of the change to not only external stakeholders, but also to the citizens of the State of California. Additionally, a thorough understanding of statutory requirements will need to be undertaken to ensure proper compliance and minimize any liability issues associated with Section 508 of the American’s with Disabilities Act (ADA).
- The electronic access to budget data and transaction information by Finance staff, other departments, stakeholders and the public will require the establishment and maintenance of a secure technology infrastructure, including the need for encrypting data where appropriate and the ability to authenticate users based on access and process authorities. This will also require understanding and monitoring security risks and procedures by all who have online access rights.

GAP ANALYSIS – TABLE OF FINDINGS

The table on the following pages contains the gap analysis between the “As-Is” models and the proposed “To-Be” Model.

Ref #	"As-Is" / Legacy Process Functionality	"To-Be" Process Functionality	DOF Process Change	External Stakeholder Process Change	Policy Impact	Computer System	Document Handling/ Imaging	Forms/ Correspondence	Organizational Impact	Comments
Formal Process to Inform Departments										
1	Create and modify new budget letter	1.1 Distribute Budget Instructions 2.1 Distribute Instructions 5.1 Administer Budget Act Requirements	X							<ul style="list-style-type: none"> Automatic notification to update Budget Letter. Budget Letters will be stored electronically.
2	Approve and assign budget letter number	1.1 Distribute Budget Instructions 2.1 Distribute Instructions 5.1 Administer Budget Act Requirements	X		X	X				<ul style="list-style-type: none"> Electronic routing and approval. Final approval is related to the electronic signature process based on defined roles. The system will automatically generate the number assignments based on rules established by Finance.
3	Sign budget letter	1.1 Distribute Budget Instructions 2.1 Distribute Instructions 5.1 Administer Budget Act Requirements	X		X	X				<ul style="list-style-type: none"> Use of electronic signature, based on defined roles.
4	Distribute budget letter	1.1 Distribute Budget Instructions 2.1 Distribute Instructions 5.1 Administer Budget Act Requirements	X	X		X	X	X		<ul style="list-style-type: none"> Automatic distribution, notification, deadline alerts/reminders, etc. Use of subject matter search capability against stored data.

Ref #	"As-Is" / Legacy Process Functionality	"To-Be" Process Functionality	DOF Process Change	External Stakeholder Process Change	Policy Impact	Computer System	Document Handling/ Imaging	Forms/ Correspondence	Organizational Impact	Comments
Incorporate into Governor's Proposed State Fiscal Plan										
5	Update expenditures (PY, CY, BY)	1.3 Prepare Budget Information 1.4 Prepare Budget 1.8 Record Decision 1.9 Update for Detail, etc. 5.10 Record and Notify	X	X		X		X	X	<ul style="list-style-type: none"> Data will be received from departments electronically. Historical information will be maintained and available online for analysis. Decision level information will be captured. Central unit will not enter expenditures. Process will be paperless.
6	Approve budget change request (CY/BY)	1.4 Prepare Budget 1.8 Record Decision 1.9 Update for Detail, etc.	X	X	X	X	X	X		<ul style="list-style-type: none"> Historical information will be maintained and available online for analysis. Departments may be required to use BIS to respond to questions and requests for additional information. Decision level information will be captured. Process will be paperless and will include alerts for due dates.
7	Update Planning Estimate system (CY/BY)	1.3 Prepare Budget Information 1.4 Prepare Budget 1.8 Record Decision 1.9 Update for Detail, etc.	X	X		X		X		<ul style="list-style-type: none"> Data will come from an external interface or be entered one-time by departments or Finance. Baseline will be adjusted to reflect prior year decisions (one-time, LT, etc.)

Ref #	"As-Is" / Legacy Process Functionality	"To-Be" Process Functionality	DOF Process Change	External Stakeholder Process Change	Policy Impact	Computer System	Document Handling/ Imaging	Forms/ Correspondence	Organizational Impact	Comments
8	Update galley and related documents (PY, CY, BY)	1.10 Draft Governor's Budget 1.12 Publish Governor's Budget and Related Documents	X	X	X	X	X	X	X	<ul style="list-style-type: none"> Majority of documents, including formal budget documents, will be generated from BIS eliminating the manual update process between departments, Finance, and OSP. Minimize need for manual comping (calculations) and validation of data. Documents currently published by OSP will be produced from BIS and available electronically. Hard copies will be available only on request.
9	Update revenue estimates (PY, CY, BY)	1.3 Prepare Budget Information 1.4 Prepare Budget 1.8 Record Decision	X	X		X		X	X	<ul style="list-style-type: none"> Data will come from an external interface or be entered one-time by departments or Finance. System will identify revenue variance based on trends and predefined thresholds.
10	Update position and PY cost estimates (PY, CY, BY)	1.3 Prepare Budget Information 1.4 Prepare Budget 1.8 Record Decision 1.9 Update for Detail, etc.	X	X		X		X	X	<ul style="list-style-type: none"> Data will come from an external interface or be entered one-time by departments or Finance. Positions will be adjusted to reflect prior year decisions (LT, partial year adjustments) and approved budget change requests.

Ref #	"As-Is" / Legacy Process Functionality	"To-Be" Process Functionality	DOF Process Change	External Stakeholder Process Change	Policy Impact	Computer System	Document Handling/ Imaging	Forms/ Correspondence	Organizational Impact	Comments
										<ul style="list-style-type: none"> Minimize need for additional data input, manual comping (calculations) and validation of data by FO.
11	Update budget bill language sheets (BY)	1.9 Update for Detail, etc. 1.10 Draft Governor's Budget 1.12 Publish Governor's Budget and Related Documents	X	X		X	X	X	X	<ul style="list-style-type: none"> Budget bill language sheets, will be produced from BIS – OSP will no longer produce these. Budget Bill information will be generated from the system and updated on line. Ability to add/modify language electronically.
12	Create and distribute Spring Finance Letters (CY/BY), includes update of expenditures and revenues	2.3 Prepare Budget Information 2.4 Prepare Budget Revision 2.8 Record Decision 2.9 Update for Detail, etc. 2.10 Draft Governor's Revised Budget	X	X	X	X	X	X	X	<ul style="list-style-type: none"> Majority of documents (letters) will be generated from the system electronically – process will be paperless. Data will come from an external interface or be entered one-time by departments or Finance. System will identify revenue variance based on trends and predefined thresholds. The Legislature has access to BIS to support the spring process.

Ref #	"As-Is" / Legacy Process Functionality	"To-Be" Process Functionality	DOF Process Change	External Stakeholder Process Change	Policy Impact	Computer System	Document Handling/ Imaging	Forms/ Correspondence	Organizational Impact	Comments
Legislative Hearings										
13	Enter change in Change Book (CY/BY)	3.4 Participate in Legislative Budget Hearings	X	X		X		X	X	<ul style="list-style-type: none"> On-line access to authorized users, including legislative staff and LAO. Access could also be provided to departments. Legislative staff will formally approve issues entered into BIS. Process will be paperless (no pinks/blues). BIS will provide the legislature with the reporting tools to assist in the creation of the hearing agendas, if desired. Hearing agenda's received electronically, can be associated with departments, appropriations, and issues.
14	Close item and print amendment page (BY)	3.4 Participate in Legislative Budget Hearings	X	X		X		X	X	<ul style="list-style-type: none"> Legislative staff will formally approve issues as budgeted (AAB) by using a system flag. The system will include alerts to identify items that have no issues and have not been formally approved as budgeted by Legislative staff.

Ref #	"As-Is" / Legacy Process Functionality	"To-Be" Process Functionality	DOF Process Change	External Stakeholder Process Change	Policy Impact	Computer System	Document Handling/ Imaging	Forms/ Correspondence	Organizational Impact	Comments
15	Update budget bill language sheet (BY)	3.4 Participate in Legislative Budget Hearings	X	X		X	X	X	X	<ul style="list-style-type: none"> The Budget Bill will be updated electronically based on changes occurring in the Legislative hearings, by Finance. An electronic interface will exist between Finance and Legislative Counsel to eliminate the current process of revising the budget bill language sheets through manual revisions and printed dollar amendment pages for each item. New language will be received either electronically or scanned using imaging technology into BIS for update of the Budget Bill.
16	Assemble budget bill language sheet and forward (BY)		X	X		X			X	<ul style="list-style-type: none"> Manual packaging and forwarding will no longer take place. Revised language sheets will be forwarded electronically to the Legislature, LAO, and Legislative Counsel.
17	Log, validate, and distribute budget bill language sheet package (BY)		X	X		X			X	<ul style="list-style-type: none"> New system functionality will eliminate the need for the manual logging, validating, and distributing of budget bill language sheets.

Ref #	"As-Is" / Legacy Process Functionality	"To-Be" Process Functionality	DOF Process Change	External Stakeholder Process Change	Policy Impact	Computer System	Document Handling/ Imaging	Forms/ Correspondence	Organizational Impact	Comments
18		3.2 Prepare LAO Rebuttal & Testimony Notes	X	X		X	X	X		<ul style="list-style-type: none"> An electronic interface will exist between the LAO and Finance. The LAO analysis and related documents will be included in the BIS data repository to assist in the preparation of rebuttals, as needed. LAO rebuttals will be stored in BIS and will include electronic routing/approval.
Conference Committee Hearings										
19	Run side-by-side house comparison and update to ensure issue alignment	3.6 Participate in Conference Hearings	X			X		X		<ul style="list-style-type: none"> Side-by-side verification will occur on line. BIS will have the ability to relate issues among and between house versions. This functionality will simplify the process for identifying/excluding issues going to conference.
20	Prepare conference position papers and binders	3.6 Participate in Conference Hearings	X	X		X	X	X	X	<ul style="list-style-type: none"> Conference position papers will be created and stored in BIS and will include electronic routing and approval. Conference position papers will be associated with agenda items. BIS will provide the Legislature with reporting tools to assist in the creation of the conference agenda, if desired. BIS access will be provided to allow the

Ref #	"As-Is" / Legacy Process Functionality	"To-Be" Process Functionality	DOF Process Change	External Stakeholder Process Change	Policy Impact	Computer System	Document Handling/ Imaging	Forms/ Correspondence	Organizational Impact	Comments
										Legislature and LAO to model various budget scenarios.
21	Attend hearings, take/distribute notes, and reconcile hearing actions	3.6 Participate in Conference Hearings	X			X	X	X	X	<ul style="list-style-type: none"> Conference hearing notes can be directly entered into BIS, reducing the need for taking notes manually. Electronic notes would be immediately available to allow users to update issues into BIS, reducing the need for hard copy distribution of notes. Process will be paperless to the extent possible. Manual process will likely be used when separate lists, i.e., open issues, reopen, etc., are introduced by the Conference Committee. Hearing notes will be linked to issues in BIS. Any hearing handouts will be imaged and available in BIS.

Ref #	"As-Is" / Legacy Process Functionality	"To-Be" Process Functionality	DOF Process Change	External Stakeholder Process Change	Policy Impact	Computer System	Document Handling/ Imaging	Forms/ Correspondence	Organizational Impact	Comments
22	Enter change in Change Book (CY/BY)	3.6 Participate in Conference Hearings	X	X		X	X	X	X	<ul style="list-style-type: none"> On-line access to authorized users, including legislative staff and LAO. Access could also be provided to departments. Legislative staff will formally approve issues entered into BIS. Process will be paperless (no greens). BIS will provide the legislature with the reporting tools to assist in the creation of lists such as remaining open issues.
23	Close item and print amendment page (BY)	3.6 Participate in Conference Hearings	X	X		X		X	X	<ul style="list-style-type: none"> BIS will not require action on non-conference issues based on business rules (issue type and required action or lack of action).

Ref #	"As-Is" / Legacy Process Functionality	"To-Be" Process Functionality	DOF Process Change	External Stakeholder Process Change	Policy Impact	Computer System	Document Handling/ Imaging	Forms/ Correspondence	Organizational Impact	Comments
24	Update budget bill language sheet (BY)	3.6 Participate in Conference Hearings	X	X		X	X	X	X	<ul style="list-style-type: none"> The Budget Bill will be updated electronically based on changes occurring in the legislative hearings, by Finance An electronic interface will exist between Finance and Legislative Counsel to eliminate the current process of revising the budget bill language sheets through manual revisions and printed dollar amendment pages for each item. New language will be received either electronically or scanned using imaging technology into BIS for update of the Budget Bill.
25	Assemble budget bill language sheet and forward (BY)	3.6 Participate in Conference Hearings	X	X		X			X	<ul style="list-style-type: none"> Manual packaging and forwarding will no longer take place. Revised language sheets will be forwarded electronically to the Legislature, LAO, and Legislative Counsel.
26	Log, validate, and distribute budget bill language sheet package (BY)	3.6 Participate in Conference Hearings	X	X		X			X	<ul style="list-style-type: none"> New system functionality will eliminate the need for the manual logging, validating, and distributing of budget bill language sheets.

Ref #	"As-Is" / Legacy Process Functionality	"To-Be" Process Functionality	DOF Process Change	External Stakeholder Process Change	Policy Impact	Computer System	Document Handling/ Imaging	Forms/ Correspondence	Organizational Impact	Comments
Prepare Recommended Changes (Veto)										
27	Review legislative augmentations for vetoes	4.1 Review for Potential Vetoes	X			X				<ul style="list-style-type: none"> The system will identify all funding or language added by the Legislature, based on current business rules for veto. The system will allow an authorized user to identify other issues for veto, including base vetoes.
28	Prepare/revise write-ups/recommendations and back-up information	4.4 Prepare Veto Recommendations & Supporting Documentation	X			X	X	X		<ul style="list-style-type: none"> Recommended vetoes will be created and stored in BIS and will include electronic routing and approval. Back-up information can be received electronically or scanned and can be associated with veto issues.
29	Modify/complete veto tracking spreadsheet, including unit consolidation	4.4 Prepare Veto Recommendations & Supporting Documentation 4.7 Record Veto Decisions	X			X		X	X	<ul style="list-style-type: none"> Decision level information will be captured. BIS will be used to create the agenda for decision meetings. This will eliminate the need for consolidation of individual unit spreadsheets.
30	Prepare decision meeting agenda	4.4 Prepare Veto Recommendations & Supporting Documentation	X			X		X	X	<ul style="list-style-type: none"> BIS will be used to create the agenda for decision meetings. This will eliminate the need for consolidation of individual unit spreadsheets.

Ref #	"As-Is" / Legacy Process Functionality	"To-Be" Process Functionality	DOF Process Change	External Stakeholder Process Change	Policy Impact	Computer System	Document Handling/ Imaging	Forms/ Correspondence	Organizational Impact	Comments
31	Prepare veto messages	4.8 Prepare Veto Messages 4.9 Process Veto Messages 4.11 Finalize Veto Message Package	X	X		X	X	X	X	<ul style="list-style-type: none"> Veto messages will be stored in BIS. Eliminates the need for units to transmit messages and for consolidation by Central Unit. An electronic interface will exist between Finance and Legislative Counsel.
32	Prepare and finalize budget highlights, including summary charts	4.13 Produce Final Budget Documents	X	X	X	X	X	X	X	<ul style="list-style-type: none"> Majority of formal budget documents will be generated from BIS. Documents currently published by OSP will be produced from BIS and available electronically. Hard copies will be available only on request.
33	Distribute final veto messages and budget highlights	4.11 Finalize Veto Message Package 4.13 Produce Final Budget Documents	X	X	X	X	X		X	<ul style="list-style-type: none"> Documents currently published by OSP will be produced from BIS and available electronically. Hard copies will be available only on request.
Budget Summary Package										
34	Update final Change Book worksheets		X	X		X			X	<ul style="list-style-type: none"> Document will not be produced. Information will be available online.

Ref #	"As-Is" / Legacy Process Functionality	"To-Be" Process Functionality	DOF Process Change	External Stakeholder Process Change	Policy Impact	Computer System	Document Handling/ Imaging	Forms/ Correspondence	Organizational Impact	Comments
35	Update and verify Change Book system	3.6 Participate in Conference Hearings 4.7 Record Veto Decisions	X			X			X	<ul style="list-style-type: none"> "To-Be" does not have a one-to-one match with the "As-Is" because a "Change Book" document will not be produced in the "To-Be". Final numbers and issue detail will be available in BIS. Issue detail for placeholders and narrative edits would be entered during this process.
36	Print, validate, and distribute final Change Book publication	4.13 Produce Final Budget Documents	X	X	X	X			X	<ul style="list-style-type: none"> Document will not be produced in the "To-Be". Information will continue to be available online. Eliminates the need for printing and distributing Change Book. Issues will be validated in other process steps.
37	Modify Budget Act to reflect vetoes and create draft Final Budget Summary	4.13 Produce Final Budget Documents	X			X		X	X	<ul style="list-style-type: none"> BIS will contain the Budget Act that will be updated electronically to reflect vetoes.
38	Validate, print and distribute Final Budget Summary publication	4.13 Produce Final Budget Documents	X	X		X			X	<ul style="list-style-type: none"> Document will not be produced in the "To-Be". Information will be available online. This will eliminate the need for printing and distributing the Final Budget Summary publication.

Ref #	"As-Is" / Legacy Process Functionality	"To-Be" Process Functionality	DOF Process Change	External Stakeholder Process Change	Policy Impact	Computer System	Document Handling/ Imaging	Forms/ Correspondence	Organizational Impact	Comments
39		5.1 Administer Budget Act Requirements	X	X	X	X			X	<ul style="list-style-type: none"> Electronic interfaces will exist between Finance, SCO, and departments to provide appropriation information from the Final Budget Act.
Drills and Ad-Hoc Reports										
40	General Fund updates	1.4 Prepare Budget 1.5 Prepare Decision Agenda 1.10 Draft Governor's Budget 2.4 Prepare Budget Revision 2.5 Prepare Decision Agenda 2.10 Draft Governor's Revised Budget 3.6 Participate in Conference Hearings 4.4 Prepare Veto Recommendations & Supporting Documentation	X	X		X			X	<ul style="list-style-type: none"> Updates will be generated by BIS and stored electronically. Supporting detail/back-up information will also be accessible through BIS. Legislature can obtain an electronic copy of the General Fund Update Summary for modeling scenarios, based on issue status, authorizations and security. Final documents will be stored and indexed in BIS.

Ref #	"As-Is" / Legacy Process Functionality	"To-Be" Process Functionality	DOF Process Change	External Stakeholder Process Change	Policy Impact	Computer System	Document Handling/ Imaging	Forms/ Correspondence	Organizational Impact	Comments
41	Cash flow analysis	1.4 Prepare Budget 1.10 Draft Governor's Budget 2.4 Prepare Budget Revision 2.10 Draft Governor's Revised Budget 4.13 Finalize Budget Documents 5.5 Review & Recommend	X	X		X		X	X	<ul style="list-style-type: none"> Electronic interfaces will exist between Finance, SCO, and departments to provide actual expenditure and revenue information. Eliminates the manual data entry of expenditures and revenues into a spreadsheet for cash flow projections. Cash flow updates will be produced automatically at specified times. Final documents will be stored and indexed in BIS.
42	Multi-Year Projections	1.4 Prepare Budget 1.10 Draft Governor's Budget 2.4 Prepare Budget Revision 2.10 Draft Governor's Revised Budget 4.13 Finalize Budget Documents	X			X		X	X	<ul style="list-style-type: none"> BIS will generate multi-year projections based on final expenditures and defined rules (CPI, COLAs, etc.). BIS will automatically adjust the base to reflect one-time costs, etc. Final documents will be stored and indexed in BIS.
43	Calculate State Appropriations Limit	1.4 Prepare Budget 1.10 Draft Governor's Budget 2.4 Prepare Budget Revision 2.10 Draft Governor's Revised Budget	X			X	X	X	X	<ul style="list-style-type: none"> SAL impact will be identified in changes to expenditure and revenues based on defined business rules. The original source data, if external to BIS, will be maintained as back-up information.

Ref #	"As-Is" / Legacy Process Functionality	"To-Be" Process Functionality	DOF Process Change	External Stakeholder Process Change	Policy Impact	Computer System	Document Handling/ Imaging	Forms/ Correspondence	Organizational Impact	Comments
44	One-time costs	1.4 Prepare Budget 1.10 Draft Governor's Budget 2.4 Prepare Budget Revision 2.10 Draft Governor's Revised Budget	X			X			X	<ul style="list-style-type: none"> BIS will contain data to generate a one-time cost report. BIS will automatically adjust the baseline to reflect prior year decisions related to one-time expenditures, revenues, and savings.
45	Ad-Hoc and Other Misc. Drills	1.4 Prepare Budget 1.5 Prepare Decision Agenda 1.10 Draft Governor's Budget 2.4 Prepare Budget Revision 2.5 Prepare Decision Agenda 2.10 Draft Governor's Revised Budget 3.6 Participate in Conference Hearings 4.4 Prepare Veto Recommendations & Supporting Documentation 5.5 Review & Recommend	X	X		X	X	X	X	<ul style="list-style-type: none"> BIS will contain data to generate various ad-hoc reports. BIS will support the use of new codes to respond to ad-hoc drills/requests. Departments may be required to use BIS to respond to questions and requests for additional information. Final documents will be stored and indexed in BIS. The original source data, if external to BIS, will be preserved as back-up information.

Ref #	"As-Is" / Legacy Process Functionality	"To-Be" Process Functionality	DOF Process Change	External Stakeholder Process Change	Policy Impact	Computer System	Document Handling/ Imaging	Forms/ Correspondence	Organizational Impact	Comments
Process Budget Adjustments										
46	Log receipt of request from department	5.5 Review & Recommend	X	X	X	X	X	X	X	<ul style="list-style-type: none"> Data will be received from departments electronically. Workflow will be used for automatic distribution, notification, deadline alerts/reminders, etc., based on defined business rules. Process will be paperless.
47	Validate the adjustment and make recommendations	5.5 Review & Recommend	X	X		X	X	X	X	<ul style="list-style-type: none"> Historical information will be maintained and available online for analysis. Departments may be required to use BIS to respond to questions and requests for additional information. Final approval is related to the electronic signature process based on defined roles. Use of data repository and subject matter search capability. Decision level information will be captured.
48	Prepare budget adjustment package for Financial Operations	5.5 Review & Recommend 5.10 Record & Notify	X			X			X	<ul style="list-style-type: none"> This process would be eliminated because information will be automatically distributed through BIS.

Ref #	"As-Is" / Legacy Process Functionality	"To-Be" Process Functionality	DOF Process Change	External Stakeholder Process Change	Policy Impact	Computer System	Document Handling/ Imaging	Forms/ Correspondence	Organizational Impact	Comments
49	Log receipt of package from units	5.10 Record & Notify	X			X			X	<ul style="list-style-type: none"> This process would be eliminated because information will be automatically tracked through BIS.
50	Validate the package, create Executive Order (if necessary), and forward to State Controller's	5.5 Review & Recommend 5.10 Record & Notify	X	X	X	X		X	X	<ul style="list-style-type: none"> This process will be streamlined. Most validation will be done by defined business rules. Executive Orders will be created in BIS. Workflow will be used to alert the Central Unit that adjustments are ready for transmission to SCO.
Deficiency Notification										
51	Log receipt of request from department	5.5 Review & Recommend	X	X	X	X		X	X	<ul style="list-style-type: none"> Deficiencies will be received from departments electronically. Workflow will be used for automatic distribution, notification, deadline alerts/reminders, etc., based on defined business rules. Process will be paperless.

Ref #	"As-Is" / Legacy Process Functionality	"To-Be" Process Functionality	DOF Process Change	External Stakeholder Process Change	Policy Impact	Computer System	Document Handling/ Imaging	Forms/ Correspondence	Organizational Impact	Comments
52	Prepare 10-day notification letter	5.5 Review & Recommend	X	X		X		X	X	<ul style="list-style-type: none"> Workflow will be used to produce notification to Legislature based on defined business rules. Use of electronic signature, based on defined roles, makes use of industry security process. Process will be paperless.
53	Analyze request and prepare recommendation	5.5 Review & Recommend	X	X		X	X	X	X	<ul style="list-style-type: none"> Historical information will be maintained and available online for analysis. Departments may be required to use BIS to respond to questions and requests for additional information. The original source data, if external to BIS, will be preserved as back-up information. Decision level information will be captured.
54	Prepare legislative notification letter for approved requests	5.5 Review & Recommend 5.6 Process Recommendations 5.8 Finalize & Transmit Notification	X	X	X	X		X	X	<ul style="list-style-type: none"> Workflow will be used to process the recommendation based on defined business rules. Final approval is related to the electronic signature process based on defined roles.

Ref #	"As-Is" / Legacy Process Functionality	"To-Be" Process Functionality	DOF Process Change	External Stakeholder Process Change	Policy Impact	Computer System	Document Handling/ Imaging	Forms/ Correspondence	Organizational Impact	Comments
										<ul style="list-style-type: none"> Decision level information will be captured. Electronic transmittal to the Legislature, LAO, and departments. Process will be paperless.
55	Incorporate into state fiscal plan	5.10 Record & Notify	X	X		X		X	X	<ul style="list-style-type: none"> Workflow will be used for automatic distribution, notification, deadline alerts/reminders, etc., based on defined business rules. Adjustments will be triggered based on system alerts. Required Executive Orders will be generated from BIS. An interface between Finance, SCO, and departments will be utilized to reflect approved adjustments to the state fiscal plan.
56	Notify departments	5.10 Record & Notify	X	X		X			X	<ul style="list-style-type: none"> Workflow will be used for automatic distribution, notification, deadline alerts/reminders, etc., based on defined business rules. This would no longer be a separate process.

FINANCE PROCESS CHANGE

A “Process Change” is a simple or complex idea that alters the way a specific business process is currently done. The following tables present the details of the Finance process change analysis that focused on identifying process changes necessary to support the “To-Be” process models. The tables provide a description of each potential business process change and details potential implications to Finance. Work steps to implement the change are also identified, along with the following:

- Risk factors and contingencies
- Resources needed to implement the business process change
- Dependencies on any other change
- Sponsor of the change

Each of the potential business process change items is numbered to correspond to the reference numbers in the Gap Analysis document.

1-4	BUDGET INSTRUCTIONS (1.1 Distribute Budget Instructions, 2.1 Distribute Instructions, 5.1 Administer Budget Act Requirements)
	<p><i>Business Process:</i></p> <p>These activities are associated with drafting, approving, distributing, and storing budget instructions to be used by departments and Finance staff. This occurs during the budget development, spring budget process, and administration of the Budget Act.</p>
	<p><i>Change Description and Implications to the Department:</i></p> <p><i>Description</i></p> <ul style="list-style-type: none"> • Automatic notification to update Budget Letters based on defined business rules. • Use of electronic routing and approval. • Use of electronic signatures by the appropriate management level. • Automatic notification and deadline alerts/reminders. • Store documents electronically using document management. Documents would be indexed and searchable. Updates/Revisions would also be included. • Numbering of budget instructions will be electronically generated. <p><i>Implications</i></p> <ul style="list-style-type: none"> • Manual logs will no longer be maintained to track a document from creation to distribution. • Budget instructions will be available via subject matter and date search capabilities. • Electronic workflow will be utilized during the review and approval process. • Revised budget instructions will be linked to initial instructions. • The system will allow the department to define the sequencing and signature authority of the budget instructions. The appropriate budget unit can sign budget instructions.
	<p><i>Work steps/activities to support the change:</i></p> <ul style="list-style-type: none"> • Define business rules that would trigger the alert to prepare budget instructions and establish signature authority. • Determine how many state entities do not have Internet access. • Determine level of redundancy for notifications. • Research the viability and acceptability of using electronic signatures.
	<p><i>Risk Factors and Contingency Plans</i></p> <p><i>Risk 1:</i> System availability does not support the process.</p> <p><i>Contingency 1:</i> Develop manual procedures.</p>

1-4	BUDGET INSTRUCTIONS (1.1 Distribute Budget Instructions, 2.1 Distribute Instructions, 5.1 Administer Budget Act Requirements)		
Resources Needed		Dependencies	Sponsor
<ul style="list-style-type: none">• BIS project team		<ul style="list-style-type: none">• Anyone who must receive these budget instructions must have access to the Internet.• Implementation of workflow and document management capabilities.• Acceptance of the use of electronic signatures and delegation of signature authority.	<ul style="list-style-type: none">• Executive Office• BIS Steering Committee

5	UPDATE EXPENDITURES FOR PRIOR YEAR, CURRENT YEAR, AND BUDGET YEAR (1.3 Prepare Budget Information, 1.4 Prepare Budget, 1.8 Record Decision, 5.5 Review and Recommend, 5.10 Record and Notify)
	<p><i>Business Process:</i> These processes would replace the current activities associated with capturing information recorded on the Schedule 10s including the recording of actual and authorized expenditures during the fall process and as part of the budget administration. These are activities associated with capturing any previous year's expenditures, review and analysis of fiscal information to adjust current year expenditures and estimate future expenditures.</p> <p><i>1.3 Prepare Budget Information</i> includes activities associated with the electronic submittal of information by departments.</p> <p><i>1.4 Prepare Budget</i> includes the analytical processes that primarily result in the technical changes (i.e., ProRata, SWCAP, one-time adjustments, debt service, etc.) that are included in the current year and budget year plan of expenditures. These are mainly the baseline budget activities.</p> <p><i>1.8 Record Decision</i> includes the analytical processes and the recording of final decisions to reflect the changes to be included in the current year and budget year plan of expenditures.</p> <p><i>5.5 Review and Recommend</i> includes the analytical processes that primarily result in changes to authorized current year expenditures (i.e., Budget Revisions, Section Letters, Executive Orders etc.).</p> <p><i>5.10 Record and Notify</i> includes the recording of final decisions to reflect changes to the authorized current year expenditures.</p>

5	<p>UPDATE EXPENDITURES FOR PRIOR YEAR, CURRENT YEAR, AND BUDGET YEAR (1.3 Prepare Budget Information, 1.4 Prepare Budget, 1.8 Record Decision, 5.5 Review and Recommend, 5.10 Record and Notify)</p>
<p><i>Change Description and Implications to the Department:</i></p> <p><i>Description</i></p> <ul style="list-style-type: none"> • Electronic submittal of information by departments. • One-time data entry into a single system by departments or by Finance. • Historical information will be maintained and available online to support the analytical process. • Tools will be available to support the analytical process. • Automatic notification and deadline alerts/reminders. • Use of electronic routing and approval. • Use of electronic signatures by the appropriate management level. • Legislature is an authorized system user. <p><i>Implications</i></p> <ul style="list-style-type: none"> • The Central Unit will provide technical guidance related to recording information previously collected in Schedule 10's. • Manual logs will no longer be maintained to track a document. • Electronic workflow will be utilized during the review and approval process. • The system will allow Finance to define the sequencing and signature authority of a budget change request. • Eliminates the multiple systems and data redundancy currently in place to capture and validate budget information. • Legislature is an authorized user through the entire budget process and is expected to use the system to receive issues for review and indicate decisions. • Electronic access to system data by a variety of users (departments, Legislature, LAO, public, Finance, etc.) will require establishment and maintenance of secure technology and infrastructure including ability to authenticate users based on access and process authority. This will also require understanding and monitoring security risks and procedures by all who have online access rights. 	
<p><i>Work steps/activities to support the change:</i></p> <ul style="list-style-type: none"> • Determine a single coding structure to enhance detail reporting on statewide expenditures and appropriation authority at program, organization and other appropriate levels to be used during all phases of the budget cycle. • Identify common data elements in the various data systems to determine where data redundancy is appropriate. • Define business rules that would trigger the alerts and establish signature authority. • Determine how many state entities do not have Internet access. • Research the viability and acceptability of using electronic signatures. • Define security rules and procedures based on user roles. 	

5	UPDATE EXPENDITURES FOR PRIOR YEAR, CURRENT YEAR, AND BUDGET YEAR (1.3 Prepare Budget Information, 1.4 Prepare Budget, 1.8 Record Decision, 5.5 Review and Recommend, 5.10 Record and Notify)		
<i>Risk Factors and Contingency Plans</i>			
<i>Risk 1:</i> Inability to reach consensus on use of the system by external entities.			
<i>Contingency 1:</i> Continue a paper process for receiving and distributing budget related information or mandate the use of the system.			
<i>Risk 2:</i> Inability to reach consensus on statewide coding structure.			
<i>Contingency 2:</i> Recognize the inability to report at a greater level of detail through a single system.			
<i>Risk 3:</i> Inability to define and maintain appropriate levels of security and system access.			
<i>Contingency 3:</i> Limit the access to the system.			
Resources Needed		Dependencies	Sponsor
<ul style="list-style-type: none">• Work group composed of representatives from CalSTARS, SCO, departments, Legislature, Finance IS, Finance budget units.• BIS project team		<ul style="list-style-type: none">• Agreements by departments and Legislature to utilize the system.• Implementation of workflow and document management capabilities.• Acceptance of the use of electronic signatures and delegation of signature authority.	<ul style="list-style-type: none">• Executive Office• BIS Steering Committee

6	APPROVE BUDGET CHANGE REQUESTS FOR CURRENT YEAR AND BUDGET YEAR (1.4 Prepare Budget, 1.8 Record Decision, 1.9 Update for Detail)
<i>Business Process:</i> This process includes activities associated with receiving, reviewing, approving, and recording decisions related to budget change requests received during the fall budget process.	
<i>Change Description and Implications to the Department:</i> <i>Description</i> <ul style="list-style-type: none">• Electronic submittal of information by departments, including updates and revisions to reflect decisions.• Use of electronic signatures by departments and agencies at the appropriate management levels.• One-time data entry into a single system by departments or by Finance.• Historical information, narrative, and quantitative information will be maintained and available online to support the analytical and decision process.• Tools will be available to support the analytical process.• Tools will be available to support the production and tracking of decision documents.• Automatic notification and deadline alerts/reminders.• Use of electronic routing and approval.• Electronic distribution of approved proposals to external agencies (Legislature and LAO). <i>Implications</i> <ul style="list-style-type: none">• Document/Issue and decision tracking will occur within BIS.• Electronic workflow will be utilized during the review and approval process.• Eliminates the multiple systems and data redundancy currently in place to capture and validate budget information.• Electronic access to the system by department and Finance users will require establishment and maintenance of secure technology and infrastructure including ability to authenticate users based on access and process authority. This will also require understanding and monitoring security risks and procedures by all who have online access rights.	

6	APPROVE BUDGET CHANGE REQUESTS FOR CURRENT YEAR AND BUDGET YEAR (1.4 Prepare Budget, 1.8 Record Decision, 1.9 Update for Detail)	
Work steps/activities to support the change: <ul style="list-style-type: none">Determine a single coding structure to enhance detailed reporting on statewide expenditures and appropriation authority at program, organization and other appropriate levels to be used during all phases of the budget cycle.Identify common data elements in the various data system to determine where data redundancy is appropriate.Define business rules that would trigger the alerts and establish signature authority.Determine how many state entities do not have Internet access.Research the viability and acceptability of using electronic signatures.Define security rules and procedures based on user roles.		
Risk Factors and Contingency Plans		
Risk 1: Inability to reach consensus on use of the system by external entities.		
Contingency 1: Continue a paper process for receiving and distributing budget related information or mandate the use of the system.		
Risk 2: Inability to reach consensus on statewide coding structure.		
Contingency 2: Recognize the inability to report at a greater level of detail through a single system.		
Risk 3: Inability to define and maintain appropriate levels of security and system access.		
Contingency 3: Limit the access to the system.		
Resources Needed	Dependencies	Sponsor
<ul style="list-style-type: none">Work group composed of representatives from departments, Legislature, and Finance budget units.BIS project team	<ul style="list-style-type: none">Agreements by departments and Legislature to utilize the system.Implementation of workflow and document management capabilities.Acceptance of the use of electronic signatures.	<ul style="list-style-type: none">Executive OfficeBIS Steering Committee

7	UPDATE PLANNING ESTIMATE SYSTEM FOR CURRENT YEAR AND BUDGET YEAR (1.3 Prepare Budget Information, 1.4 Prepare Budget, 1.8 Record Decision, 1.9 Update for Detail)
	<p><i>Business Process:</i></p> <p>These processes would replace the current activities associated with capturing information recorded in the Planning Estimates including adjustments to current year expenditures and the estimate of future expenditures.</p> <p><i>1.3 Prepare Budget Information</i> includes activities associated with the electronic submittal of information by departments.</p> <p><i>1.4 Prepare Budget</i> includes the analytical processes that primarily result in the technical changes (i.e., ProRata, SWCAP, one-time adjustments, debt service, etc.) that are included in the current year and budget year plan of expenditures. These are mainly the baseline budget activities.</p> <p><i>1.8 Record Decision</i> includes the analytical processes and the recording of final decisions to reflect the changes to be included in the current year and budget year plan of expenditures.</p> <p><i>1.9 Update for Detail</i> includes activities associated with the electronic submission of information by departments to provide detailed information to support decisions included in BIS, when necessary.</p>

7	<p>UPDATE PLANNING ESTIMATE SYSTEM FOR CURRENT YEAR AND BUDGET YEAR (1.3 Prepare Budget Information, 1.4 Prepare Budget, 1.8 Record Decision, 1.9 Update for Detail)</p>
<p><i>Change Description and Implications to the Department:</i></p> <p><i>Description</i></p> <ul style="list-style-type: none"> • Electronic submittal of information by departments. • One-time data entry into a single system by departments or by Finance. • Historical information will be maintained and available online to support the analytical process. • Tools will be available to support the analytical process. • Prior year decisions will be automatically reflected in the appropriate fiscal year baseline within BIS for specified categories, including one-time, limited-term, and partial year adjustments. The system would produce a summary report of all automatic adjustments for analyst validation. • Tools will be available to establish business rules for the automatic adjustment of appropriations to reflect statutory and discretionary adjustments, such as COLAs, retirement contributions, and debt services. • Automatic notification and deadline alerts/reminders. • Use of electronic routing and approval. <p><i>Implications</i></p> <ul style="list-style-type: none"> • Electronic workflow will be utilized during the review and approval process. • Eliminates the multiple systems and data redundancy currently in place to capture and validate budget information. • Electronic access to system data by a variety of users (departments, Legislature, LAO, public, Finance, etc.) will require establishment and maintenance of secure technology and infrastructure including ability to authenticate users based on access and process authority. This will also require understanding and monitoring security risks and procedures by all who have online access rights. 	
<p><i>Work steps/activities to support the change:</i></p> <ul style="list-style-type: none"> • Develop the business rules that determine the level of BIS information accessible based on user and data type, i.e., department, Legislature, LAO, public. • Determine a single coding structure to enhance detailed reporting on statewide expenditures and appropriation authority at program, organization and other appropriate levels to be used during all phases of the budget cycle. • Identify common data elements in the various data systems to determine where data redundancy is appropriate. • Define business rules that would trigger the alerts. • Determine how many state entities do not have Internet access. • Define security rules and procedures based on user roles. • Identify types of adjustments and define the rules that specify whether the adjust may occur automatically (i.e., one-time, limited-term, and partial year adjustments) or requires user identified calculation. 	

7	UPDATE PLANNING ESTIMATE SYSTEM FOR CURRENT YEAR AND BUDGET YEAR (1.3 Prepare Budget Information, 1.4 Prepare Budget, 1.8 Record Decision, 1.9 Update for Detail)	
Risk Factors and Contingency Plans		
Risk 1: Inability to reach consensus on use of the system by external entities.		
Contingency 1: Continue a paper process for receiving and distributing budget related information or mandate the use of the system.		
Risk 2: Inability to reach consensus on statewide coding structure.		
Contingency 2: Recognize the inability to report at a greater level of detail through a single system.		
Risk 3: Inability to define and maintain appropriate levels of security and system access.		
Contingency 3: Limit the access to the system.		
Resources Needed	Dependencies	Sponsor
<ul style="list-style-type: none">• Work group composed of representatives from departments, Legislature and Finance budget units.• BIS project team	<ul style="list-style-type: none">• Agreements by departments to utilize the system.• Implementation of workflow capabilities.• Achieving acceptance of the statewide coding structure.	<ul style="list-style-type: none">• Executive Office• BIS Steering Committee

8	<p>UPDATE GALLEY AND RELATED DOCUMENTS FOR PAST YEAR, CURRENT YEAR AND BUDGET YEAR (1.10 Draft Governor's Budget, 1.12 Publish Governor's Budget and Related Documents)</p>
	<p><i>Business Process:</i> These processes would replace the current activities associated with producing the Governor's Budget and other budget related documents.</p>
	<p><i>Change Description and Implications to the Department:</i></p> <p><i>Description</i></p> <ul style="list-style-type: none"> Majority of the documents, including the formal budget documents, will be generated from BIS, eliminating the manual update process. Documents currently published by OSP will be produced from BIS and available electronically. Historical information will be maintained and available online to support the analytical process. Use of electronic routing and approval. <p><i>Implications</i></p> <ul style="list-style-type: none"> Desired changes to the format and content of published budget documents may require specific data elements to be captured and maintained in BIS. Hardcopies will only be available on a exception basis. Minimizes the need for manual calculations and data validation. Eliminates the need for manual keying of the Governor's Budget and the Salaries and Wages Supplement by OSP. Electronic workflow will be utilized during the review and approval process. Eliminates the multiple systems and data redundancy currently in place to capture and validate budget information. Electronic access to system data by a variety of users (departments, Legislature, LAO, public, Finance, etc.) will require establishment and maintenance of secure technology and infrastructure including ability to authenticate users based on access and process authority. This will also require understanding and monitoring security risks and procedures by all who have online access rights.
	<p><i>Work steps/activities to support the change:</i></p> <ul style="list-style-type: none"> Begin the process of identifying format and content changes to published budget related documents. Determine the necessity of, and/or understand the requirements to electronically interface with OSP. Define business rules that would trigger the alerts, deadlines and establish approval authority. Define security rules and procedures based on user roles.

8	UPDATE GALLEY AND RELATED DOCUMENTS FOR PAST YEAR, CURRENT YEAR AND BUDGET YEAR (1.10 Draft Governor’s Budget, 1.12 Publish Governor’s Budget and Related Documents)		
<i>Risk Factors and Contingency Plans</i>			
<i>Risk 1:</i> Data structure of BIS cannot support the desired format and content of published budget documents.			
<i>Contingency 1a:</i> Revise the format and content of the published budget documents.			
<i>Contingency 1b:</i> Revise the data structure of BIS to accommodate the desired format and content of the published budget documents.			
<i>Risk 2:</i> Inability to define and maintain appropriate levels of security and system access.			
<i>Contingency 2:</i> Limit the access to the system.			
Resources Needed		Dependencies	Sponsor
<ul style="list-style-type: none">• BIS project team		<ul style="list-style-type: none">• Agreements by departments to utilize the system.• Implementation of workflow capabilities.• Achieving acceptance of the budget document format and content.• Ability to produce documents that can be published as appropriate.	<ul style="list-style-type: none">• Executive Office• BIS Steering Committee

9	UPDATE REVENUE ESTIMATES FOR PAST YEAR, CURRENT YEAR AND BUDGET YEAR (1.3 Prepare Budget Information, 1.4 Prepare Budget, 1.8 Record Decision)
	<p><i>Business Process:</i> These processes would replace the current activities associated with capturing information recorded on the Schedule 10R including the recording of actual and estimated revenues during the fall process. These are activities associated with capturing any previous year's revenues, review analysis of fiscal information to adjust current year revenues and estimate future revenues.</p>
	<p><i>Change Description and Implications to the Department:</i></p> <p><i>Description</i></p> <ul style="list-style-type: none"> • Electronic submittal of information by departments. • One-time data entry into a single system by departments or by Finance. • Historical information will be maintained and available online to support the analytical process. • Tools will be available to support the analytical process by providing variances based on trends and predefined thresholds. • Automatic notification and deadline alerts/reminders. • Use of electronic routing and approval. <p><i>Implications</i></p> <ul style="list-style-type: none"> • The Central Unit will not post information included in the Schedule 10Rs. • Manual logs will no longer be maintained to track a document. • Electronic workflow will be utilized during the review and approval process. • Eliminates the data redundancy currently in place to capture and validate budget information. • Minimizes the need for manual calculations and data validation. • Electronic access to system data by a variety of users (departments, Legislature, LAO, public, Finance, etc.) will require establishment and maintenance of secure technology and infrastructure including ability to authenticate users based on access and process authority. This will also require understanding and monitoring security risks and procedures by all who have online access rights.
	<p><i>Work steps/activities to support the change:</i></p> <ul style="list-style-type: none"> • Perform a trend analysis of revenue data by fund to establish business rules that would identify abnormal or unusual revenue changes. • Define business rules that would trigger the alerts.

9	UPDATE REVENUE ESTIMATES FOR PAST YEAR, CURRENT YEAR AND BUDGET YEAR (1.3 Prepare Budget Information, 1.4 Prepare Budget, 1.8 Record Decision)		
<i>Risk Factors and Contingency Plans</i>			
<i>Risk 1:</i> Inability to reach consensus on use of the system by external entities.			
<i>Contingency 1:</i> Continue a paper process for receiving and distributing budget related information or mandate the use of the system.			
<i>Risk 2:</i> Inability to define and maintain appropriate levels of security and system access.			
<i>Contingency 2:</i> Limit the access to the system.			
Resources Needed		Dependencies	Sponsor
<ul style="list-style-type: none">• BIS Project Team		<ul style="list-style-type: none">• Agreements by departments to utilize the system.• Implementation of workflow capabilities.	<ul style="list-style-type: none">• Executive Office• BIS Steering Committee

10	<p>UPDATE POSITION AND PERSONNEL YEAR COST ESTIMATES FOR PAST YEAR, CURRENT YEAR AND BUDGET YEAR (1.3 Prepare Budget Information, 1.4 Prepare Budget, 1.8 Record Decision, 1.9 Update for Detail)</p>
<p><i>Business Process:</i> These processes would replace the current activities associated with capturing actual, authorized, and proposed changes to position and personnel year information recorded in various systems during the budget cycle.</p>	
<p><i>Change Description and Implications to the Department:</i></p> <p><i>Description</i></p> <ul style="list-style-type: none"> • Electronic submittal of information by departments. • Use of electronic interface to capture detailed position information. • One-time data entry into a single system by departments or by Finance. • Prior year decisions will be automatically reflected in the appropriate fiscal year baseline within BIS for limited-term and partial year adjustments related to positions. The system would produce a summary report of all automatic adjustments for analyst validation. • Historical information will be maintained and available online to support the analytical process. • Automatic notification and deadline alerts/reminders. • Use of electronic routing and approval. <p><i>Implications</i></p> <ul style="list-style-type: none"> • The Central Unit will not post information included in the Personnel Years System (PYS). • Manual logs will no longer be maintained to track a document. • Electronic workflow will be utilized during the review and approval process. • Eliminates the multiple systems and data redundancy currently in place to capture and validate position information. • Minimizes the need for manual calculations and data validation. • Eliminate the need for manual keying of the Salaries and Wages by OSP. • Eliminate publication of the Salary and Wages Supplement since information will be available electronically which is current and up-to-date rather than linked to a specific point-in-time. • Electronic access to system data by a variety of users (departments, Legislature, LAO, public, Finance, etc.) will require establishment and maintenance of secure technology and infrastructure including ability to authenticate users based on access and process authority. This will also require understanding and monitoring security risks and procedures by all who have online access rights. 	

10	UPDATE POSITION AND PERSONNEL YEAR COST ESTIMATES FOR PAST YEAR, CURRENT YEAR AND BUDGET YEAR (1.3 Prepare Budget Information, 1.4 Prepare Budget, 1.8 Record Decision, 1.9 Update for Detail)	
<i>Work steps/activities to support the change:</i> <ul style="list-style-type: none">• Determine a single coding structure to capture position information to be used during all phases of the budget cycle.• Identify common data elements in the various data system to determine where data redundancy is appropriate.• Define business rules that would trigger the alerts.• Define security rules and procedures based on user roles.		
<i>Risk Factors and Contingency Plans</i> <i>Risk 1:</i> Inability to reach consensus on use of an electronic interface to provide detailed position information. <i>Contingency 1:</i> Continue current paper process for receiving and revising position information and minimize the amount of detailed position information reported (Schedule 7A). <i>Risk 2:</i> Inability to define and maintain appropriate levels of security and system access. <i>Contingency 2:</i> Limit the access to the system.		
Resources Needed	Dependencies	Sponsor
<ul style="list-style-type: none">• BIS Project Team• SCO	<ul style="list-style-type: none">• Agreements by departments to utilize the system.• Implementation of workflow capabilities.	<ul style="list-style-type: none">• Executive Office• BIS Steering Committee

<p>11, 15-17, 24-26</p>	<p>UPDATE BUDGET BILL LANGUAGE SHEETS (1.9 Update for Detail, 1.10 Draft Governor's Budget, 1.12 Publish Governor's Budget and Related Documents, 3.4 Participate in Legislative Budget Hearings, 3.6 Participate in Conference Hearings)</p>
<p><i>Business Process:</i> These processes would replace the current activities associated with producing and updating the Budget Bill.</p>	
<p><i>Change Description and Implications to the Department:</i></p> <p><i>Description</i></p> <ul style="list-style-type: none"> • The Budget Bill will be generated from BIS, eliminating the manual update process. • Use of electronic interface to support the development of and revision to the Budget Bill. Ideally, the interface will include Finance, OSP, and Legislative Counsel. • Use of electronic routing and approval. <p><i>Implications</i></p> <ul style="list-style-type: none"> • Manual logs will no longer be maintained to track the Budget Bill. • Electronic workflow will be utilized during the review and approval process. • Eliminates the manual process of creating and revising budget bill language sheets. • Minimizes the need for manual calculations and data validation. • Eliminate the need for manual keying of the Budget Bill by OSP. 	
<p><i>Work steps/activities to support the change:</i></p> <ul style="list-style-type: none"> • Begin the process of identifying format and content changes to produce the Budget Bill. • Understand the requirements to electronically interface with OSP and Legislative Counsel. • Define business rules that would trigger the alerts and establish approval authority. • Define security rules and procedures based on user roles. 	

11, 15-17, 24-26	UPDATE BUDGET BILL LANGUAGE SHEETS (1.9 Update for Detail, 1.10 Draft Governor’s Budget, 1.12 Publish Governor’s Budget and Related Documents, 3.4 Participate in Legislative Budget Hearings, 3.6 Participate in Conference Hearings)	
<i>Risk Factors and Contingency Plans</i> <i>Risk 1:</i> Inability to obtain consensus to use BIS by OSP and/or Legislative Counsel throughout the Budget Bill development and revision processes. <i>Contingency 1:</i> Use BIS to produce a hard copy of the Budget Bill for OSP and/or Legislative Counsel. <i>Risk 2:</i> Inability to electronically exchange Budget Bill data with OSP and/or Legislative Counsel. <i>Contingency 2a:</i> Continue the manual exchange of Budget Bill information. <i>Contingency 2b:</i> Develop process to reconcile Finance’s proposed Budget Bill version to the Budget Bill produced by OSP based on Legislative Counsel data. <i>Risk 3:</i> Inability to define and maintain appropriate levels of security and system access. <i>Contingency 3:</i> Limit the access to the system.		
Resources Needed	Dependencies	Sponsor
<ul style="list-style-type: none">• BIS Project Team• OSP• Legislative Counsel• Secretary of State	<ul style="list-style-type: none">• Agreements by OSP and Legislative Counsel to utilize the system.• Implementation of workflow capabilities.• Ability to produce documents that can be utilized by OSP and Legislative Counsel to produce the Budget Bill.	<ul style="list-style-type: none">• Executive Office• BIS Steering Committee

12	SPRING FINANCE LETTERS AND MAY REVISION (2.3 Prepare Budget Information, 2.4 Prepare Budget Revision, 2.8 Record Decision, 2.9 Update for Detail, 2.10 Draft Governor's Revised Budget)
	<i>Business Process:</i> These processes would replace the current activities associated with Administration's adjustments to the Governor's Budget. These activities include updating revenue estimates, requesting technical and policy adjustments to current and budget year expenditures, and updating enrollment, caseload and population estimates.

12	<p>SPRING FINANCE LETTERS AND MAY REVISION (2.3 Prepare Budget Information, 2.4 Prepare Budget Revision, 2.8 Record Decision, 2.9 Update for Detail, 2.10 Draft Governor's Revised Budget)</p>
<p><i>Change Description and Implications to the Department:</i></p> <p><i>Description</i></p> <ul style="list-style-type: none"> • Electronic submittal of information by departments, including updates and revisions to reflect decisions. • Use of electronic signatures by departments, agencies, and Finance at the appropriate management levels. • One-time data entry into a single system by departments or by Finance. • Historical information will be maintained and available online to support the analytical process. • Tools will be available to support the analytical process, including revenue variances based on trends and predefined thresholds. • Automatic notification and deadline alerts/reminders. • Finance Letters will be produced in BIS. • Use of electronic routing and approval. • Legislature is an authorized system user through the entire budget process. • Electronic distribution of approved proposals to external agencies (Legislature and LAO). <p><i>Implications</i></p> <ul style="list-style-type: none"> • Document/Issue and decision tracking will occur within BIS; therefore, manual logs will no longer be maintained. • The Central Unit will not post information included in the Schedule 10Rs. • Electronic workflow will be utilized during the review and approval process. • The system will allow Finance to define the sequencing and signature authority of budget change requests. • Eliminates the multiple systems and data redundancy currently in place to capture and validate budget information. • Legislature is an authorized user through the entire budget process and is expected to use the system to receive issues for review and indicate decisions, eliminating the need to copy and distribute spring budget change requests. • Electronic access to system data by a variety of users (departments, Legislature, LAO, public, Finance, etc.) will require establishment and maintenance of secure technology and infrastructure including ability to authenticate users based on access and process authority. This will also require understanding and monitoring security risks and procedures by all who have online access rights. 	

12	SPRING FINANCE LETTERS AND MAY REVISION (2.3 Prepare Budget Information, 2.4 Prepare Budget Revision, 2.8 Record Decision, 2.9 Update for Detail, 2.10 Draft Governor’s Revised Budget)		
Work steps/activities to support the change: <ul style="list-style-type: none">• Develop the business rules that determine the level of information accessible based on user and data type, i.e., department, Legislature, LAO, public.• Determine a single coding structure to enhance detail reporting on statewide expenditures and appropriation authority at program, organization and other appropriate levels to be used during all phases of the budget cycle.• Identify common data elements in the various data system to determine where data redundancy is appropriate.• Define business rules that would trigger the alerts and establish signature authority.• Determine how many state entities do not have Internet access.• Research the viability and acceptability of using electronic signatures.• Define security rules and procedures based on user roles.			
Risk Factors and Contingency Plans			
Risk 1: Inability to reach consensus on use of the system by external entities.			
Contingency 1: Continue a paper process for receiving and distributing budget related information or mandate the use of the system.			
Risk 2: Inability to reach consensus on statewide coding structure.			
Contingency 2: Recognize the inability to report at a greater level of detail through a single system.			
Risk 3: Inability to define and maintain appropriate levels of security and system access.			
Contingency 3: Limit the access to the system.			
Resources Needed		Dependencies	Sponsor
<ul style="list-style-type: none">• BIS project team		<ul style="list-style-type: none">• Agreements by departments and Legislature to utilize the system.• Implementation of workflow and document management capabilities.• Acceptance of the use of electronic signatures and delegation of signature authority.• Data structure to support the fall process is applicable to the spring process.	<ul style="list-style-type: none">• Executive Office• BIS Steering Committee

18	PREPARE LEGISLATIVE ANALYST’S OFFICE (LAO) REBUTTAL AND TESTIMONY NOTES (3.2 Prepare LAO Rebuttal and Testimony Notes)	
<i>Business Process:</i> This process would replace the current activities associated with identifying sensitive issues included in the LAO’s analysis of the proposed Governor’s Budget and preparing the rebuttals to be used during the Senate and Assembly budget subcommittee hearings.		
<i>Change Description and Implications to the Department:</i>		
<i>Description</i> <ul style="list-style-type: none">• Use of electronic interface between LAO and Finance.• Use of electronic routing and approval.• Historical information will be maintained and available online to support the analytical process.• Rebuttals and testimony notes will be stored and maintained in BIS.• Automatic notification and deadline alerts/reminders.		
<i>Implications</i> <ul style="list-style-type: none">• Departments may be required to enter detailed information directly into BIS.• Electronic workflow will be utilized during the review and approval process.		
<i>Work steps/activities to support the change:</i> <ul style="list-style-type: none">• Define business rules that would trigger the alerts.• Define security rules and procedures based on user roles.		
<i>Risk Factors and Contingency Plans</i>		
<i>Risk 1:</i> Inability to interface with LAO.		
<i>Contingency 1:</i> Continue the current process for receiving the LAO analysis.		
<i>Risk 2:</i> Inability to define and maintain appropriate levels of security and system access.		
<i>Contingency 2:</i> Limit the access to the system.		
Resources Needed	Dependencies	Sponsor
<ul style="list-style-type: none">• BIS Project Team• LAO	<ul style="list-style-type: none">• Agreements by departments to utilize the system.• Implementation of workflow capabilities.	<ul style="list-style-type: none">• Executive Office• BIS Steering Committee

13-14 21-23	RECORD LEGISLATIVE CHANGE (ENTER INTO CHANGE BOOK) (3.4 Participate in Legislative Budget Hearings, 3.6 Participate in Conference Hearings)
	<p><i>Business Process:</i></p> <p>These processes would replace the current activities associated with entering incremental changes to expenditures in the proposed Governor’s Budget. This process includes the tracking of hearing actions by the Senate, Assembly, and Conference Committee as well as the May Revision changes proposed by the Administration. This would also include any expenditures that are “approved as budgeted”.</p>
	<p><i>Change Description and Implications to the Department:</i></p> <p><i>Description</i></p> <ul style="list-style-type: none"> • Use of electronic routing and approval. • Automatic notification and deadline alerts/reminders. This would include alerts to identify items that have no issues and have not been formally approved as budgeted by legislative staff. • Legislature is an authorized system user through the entire budget process and will formally approve issues entered into BIS. Legislative staff will also formally approve issues as budgeted by setting a system flag. If no formal action occurs within established time frames, it is deemed approved as recorded in BIS by budget units. • Tools will be available to assist legislative staff in the creation of prehearing/hearing notices, hearing agendas and lists that identify open issues, etc. • Hearing agendas and other issue related information received electronically can be associated with departments, appropriations, and issues. • Conference notes will be entered directly into BIS during Conference hearings by assigned note takers and be immediately available to all budget staff. BIS will also support the entry of subcommittee hearing notes, if appropriate. BIS will provide alerts to budget staff if a recorded action is revised during the reconciliation process. <p><i>Implications</i></p> <ul style="list-style-type: none"> • Departments may be required to enter detailed information directly into BIS rather than Finance staff. • Finance staff will be equipped with laptops or other remote data entry devices to support the remote access to BIS during Conference hearings. • The availability of Conference notes reduces the need for hardcopy distribution of notes. • The Legislature needs to become familiar with BIS in order to produce special Legislative reports/agendas. • The closing of an item and the update of expenditures will occur automatically based on issue and item status. This eliminates the need to produce dollar amendment pages. • The pace of the Conference hearing may require a manual process when the Conference Committee takes actions on separate lists (i.e., open issues, reopened issues). This requires a manual process to handle the distribution of notes and a delay in recording the action.

13-14 21-23	RECORD LEGISLATIVE CHANGE (ENTER INTO CHANGE BOOK) (3.4 Participate in Legislative Budget Hearings, 3.6 Participate in Conference Hearings)	
<ul style="list-style-type: none">• The Central Unit will no longer review issues reflecting Legislative actions; this eliminates the packaging and distribution to legislative staff and the LAO.• Issue review and approval by the Legislature will occur in BIS.• BIS will not require action on non-conference issues based on business rules (issue type and required action or lack of action).• Electronic workflow will be utilized during the review and approval process.• System data will produce various reports and totals to support the specific budget cycle.		
<p><i>Work steps/activities to support the change:</i></p> <ul style="list-style-type: none">• Develop the business rules that determine the level of information available based on user and data type, i.e., department, Legislature, LAO, public.• Define business rules that would trigger the alerts.• Define security rules and procedures based on user roles.		
<p><i>Risk Factors and Contingency Plans</i></p> <p><i>Risk 1:</i> Inability to reach consensus on use of the system by external entities.</p> <p><i>Contingency 1:</i> Continue a paper process for recording and distributing legislative changes.</p> <p><i>Risk 2:</i> Inability to define and maintain appropriate levels of security and system access.</p> <p><i>Contingency 2:</i> Limit the access to the system.</p>		
Resources Needed	Dependencies	Sponsor
<ul style="list-style-type: none">• BIS Project Team• Legislative Staff	<ul style="list-style-type: none">• Legislature will use BIS for issue review, approval and reports.• Conference rooms in the Capitol will be wired for remote access.	<ul style="list-style-type: none">• Executive Office• BIS Steering Committee

19 20	PREPARE FOR CONFERENCE COMMITTEE (3.6 Participate in Conference Hearings)
<i>Business Process:</i> This process would replace the current activities of identifying difference between the Senate and Assembly (Conference starting point) and preparing position papers and binders for testifiers.	
<i>Change Description and Implications to the Department:</i> <i>Description</i> <ul style="list-style-type: none"> • Use of electronic routing and approval. • Automatic notification and deadline alerts/reminders. • Side-by-side verification of differences between the Senate and Assembly will occur on-line. • Conference position papers will be created and stored in BIS and associated with agenda items to facilitate the recording of legislative actions in BIS. • Electronic submittal of information by departments, as needed. • Legislature is an authorized system user through the entire budget process and will formally approve issues entered into BIS. • Tools will be available to assist legislative staff in the creation of hearing agendas and lists that identify open issues, etc. <i>Implications</i> <ul style="list-style-type: none"> • Departments may be required to enter information directly into BIS. • The Legislature needs to become familiar with BIS in order to produce special Legislative reports/agendas. • Electronic workflow will be utilized during the review and approval process. • System data will produce various reports and totals to support the specific budget cycle. • Eliminates the reporting of redundant data when an issue has multiple funding sources. 	
<i>Work steps/activities to support the change:</i> <ul style="list-style-type: none"> • Develop the business rules that determine the level of information available based on user and data type, i.e., department, Legislature, LAO, public. • Define business rules that would trigger the alerts. • Define security rules and procedures based on user roles. 	

19 20	PREPARE FOR CONFERENCE COMMITTEE (3.6 Participate in Conference Hearings)	
<i>Risk Factors and Contingency Plans</i>		
<i>Risk 1:</i> Inability to reach consensus on use of the system by external entities.		
<i>Contingency 1:</i> Continue a paper process for obtaining the Conference agenda for cross-reference to Finance position papers.		
<i>Risk 2:</i> Inability to define and maintain appropriate levels of security and system access.		
<i>Contingency 2:</i> Limit the access to the system.		
Resources Needed	Dependencies	Sponsor
<ul style="list-style-type: none">• BIS Project Team• Legislative Staff	<ul style="list-style-type: none">• Legislature will use BIS to prepare the Conference agenda.• Agreements by departments to utilize the system.• Implementation of workflow capabilities.	<ul style="list-style-type: none">• Executive Office• BIS Steering Committee

27-30	IDENTIFY POTENTIAL VETOES AND PREPARE VETO RECOMMENDATIONS (4.1 Review for Potential Vetoes, 4.4 Prepare Veto Recommendations and Supporting Documentation, 4.7 Record Veto Decisions)	
<i>Business Process:</i> These processes would replace the current activities with identifying legislative augmentations in the enrolled budget, making recommendations, and recording decisions to determine vetoes.		
<i>Change Description and Implications to the Department:</i>		
<i>Description</i> <ul style="list-style-type: none">• BIS will identify all funding or language added by the Legislature, based on current business rules for veto.• BIS will allow an authorized user to identify other issues for veto, including base vetoes.• Recommendations for vetoes will be created and stored in BIS. Back-up materials and supporting documentation will also be maintained and stored in BIS.• Tools will be available to support the production and tracking of decision documents.• Use of electronic routing and approval.• Automatic notification and deadline alerts/reminders.		
<i>Implications</i> <ul style="list-style-type: none">• Departments may be required to enter supporting information directly into BIS.• Document/Issue and decision tracking will occur within BIS.• Electronic workflow will be utilized during the review and approval process.		
<i>Work steps/activities to support the change:</i> <ul style="list-style-type: none">• Define business rules to identify potential vetoes and veto types.• Define business rules that would trigger the alerts.• Define security rules and procedures based on user roles.		
<i>Risk Factors and Contingency Plans</i> None		
Resources Needed	Dependencies	Sponsor
<ul style="list-style-type: none">• BIS Project Team	<ul style="list-style-type: none">• Agreements by departments to utilize the system.• Implementation of workflow capabilities.	<ul style="list-style-type: none">• Executive Office• BIS Steering Committee

31	PREPARE VETO MESSAGES (4.8 Prepare Veto Messages, 4.9 Process Veto Messages, 4.11 Finalize Veto Message Package)		
<i>Business Process:</i> These processes would replace the current activities with preparing and transmitting veto messages for inclusion in the Budget Act.			
<i>Change Description and Implications to the Department:</i>			
<i>Description</i> <ul style="list-style-type: none">• Veto messages will be created and stored in BIS.• Historical information will be maintained and stored in BIS.• Tools will be available to develop veto messages.• Use of electronic routing and approval, including Central Unit technical review.• Automatic notification and deadline alerts/reminders.• Use of electronic interface to support the transmittal of veto messages to OSP.			
<i>Implications</i> <ul style="list-style-type: none">• Veto message tracking will occur within BIS.• Eliminates the need for units to transmit messages to the Central Unit for consolidation.• Electronic workflow will be utilized during the review and approval process.• System data will produce various reports and totals to support the specific budget cycle.			
<i>Work steps/activities to support the change:</i> <ul style="list-style-type: none">• Understand the requirements to electronically interface with OSP.• Define business rules that would trigger the alerts.• Define security rules and procedures based on user roles.			
<i>Risk Factors and Contingency Plans</i>			
None			
Resources Needed	Dependencies	Sponsor	
<ul style="list-style-type: none">• BIS Project Team	<ul style="list-style-type: none">• Implementation of workflow capabilities.• Ability to produce consolidated veto message that can be utilized by OSP to incorporate into the Budget Act.	<ul style="list-style-type: none">• Executive Office• BIS Steering Committee	

32-38	FINALIZE VETO MESSAGES AND BUDGET DOCUMENTS (4.11 Finalize Veto Message Package, 4.13 Produce Final Budget Documents)	
Business Process: These processes would replace the current activities associated with producing the final budget summary and other related documents, including highlights and veto message package.		
Change Description and Implications to the Department:		
Description <ul style="list-style-type: none">Majority of the documents, including the formal budget documents, will be generated from BIS.Use of electronic routing and approval.Automatic notification and deadline alerts/reminders.Documents currently published by OSP will be produced from BIS and available electronically.Historical information will be maintained and available online.		
Implications <ul style="list-style-type: none">Hardcopies will only be available on request.Minimizes the need for manual calculations and data validation.Eliminates the need for manual keying of vetoes incorporated into the Final Budget Summary produced by OSP.Eliminates the Final Change Book publication.Electronic workflow will be utilized during the review and approval process.Electronic access to system data by a variety of users (departments, Legislature, LAO, public, Finance, etc.) will require establishment and maintenance of secure technology and infrastructure including ability to authenticate users based on access and process authority. This will also require understanding and monitoring security risks and procedures by all who have online access rights.		
Work steps/activities to support the change: <ul style="list-style-type: none">Understand the requirements to electronically interface with OSP.Define business rules that would trigger the alerts.Define security rules and procedures based on user roles.		
Risk Factors and Contingency Plans		
Risk 1: Inability to electronically interface with OSP.		
Contingency 1: Continue the manual process.		
Resources Needed	Dependencies	Sponsor
<ul style="list-style-type: none">BIS Project TeamOSP	<ul style="list-style-type: none">Implementation of workflow capabilities.Ability to produce consolidated veto message that can be utilized by OSP to incorporate into the Budget Act.	<ul style="list-style-type: none">Executive OfficeBIS Steering Committee

<p>39 46-56</p>	<p>ADMINISTER BUDGET ACT REQUIREMENTS (5.1 Administer Budget Act Requirements, 5.5 Review & Recommend)</p>
<p><i>Business Process:</i> This process would replace the current activities associated with Finance’s role in the administration of the Budget Act, including authorized expenditure adjustments relating to Control Sections, Executive Orders, etc., and the monitoring of the General Fund cash flow.</p>	
<p><i>Change Description and Implications to the Department:</i></p> <p><i>Description</i></p> <ul style="list-style-type: none"> • Electronic submittal of information by departments, including updates and revisions to reflect decisions. • One-time data entry into a single system by departments or by Finance. • Historical information, narrative, and quantitative information will be maintained and available online to support the analytical and decision process. • Majority of the documents, including the formal budget documents, will be generated from BIS. • Use of electronic routing and approval. • Use of electronic signatures by departments and agencies at the appropriate management levels. • Tools will be available to support the analytical process. • Automatic distribution, notification, and deadline alerts/reminders based on business rules, including distribution of approved budget change request to external agencies (Legislature and LAO, departments). <p><i>Implications</i></p> <ul style="list-style-type: none"> • Hardcopies will only be available on request. • Eliminates manual logs maintained in Budget Units and the Central Unit to track various budget adjustments (Budget Revisions, Section Letters, Executive Orders, etc.). • Minimizes the need for manual calculations and data validation. System validation will occur based on defined business rules. • Document/Issue and decision tracking will occur within BIS. • Electronic workflow will be utilized during the review and approval process. • Electronic access to system data by a variety of users (departments, Legislature, LAO, public, Finance, etc.) will require establishment and maintenance of secure technology and infrastructure including ability to authenticate users based on access and process authority. This will also require understanding and monitoring security risks and procedures by all who have online access rights. 	

39 46-56	ADMINISTER BUDGET ACT REQUIREMENTS (5.1 Administer Budget Act Requirements, 5.5 Review & Recommend)	
<i>Work steps/activities to support the change:</i> <ul style="list-style-type: none">• Understand the requirements to electronically interface with SCO and departments.• Define business rules that would trigger the alerts and establish signature authority.• Research the viability and acceptability of using electronic signatures.• Define security rules and procedures based on user roles.		
<i>Risk Factors and Contingency Plans</i>		
<i>Risk 1:</i> Inability to reach consensus on use of the system by external entities.		
<i>Contingency 1:</i> Continue a paper process for receiving and distributing budget change requests and related information or mandate the use of the system.		
<i>Risk 2:</i> Inability to define and maintain appropriate levels of security and system access.		
<i>Contingency 2:</i> Limit the access to the system.		
Resources Needed	Dependencies	Sponsor
<ul style="list-style-type: none">• Work group composed of representatives from departments, Legislature and Finance budget units• BIS Project Team	<ul style="list-style-type: none">• Agreements by departments and Legislature to utilize the system.• Implementation of workflow and document management capabilities.• Acceptance of the use of electronic signatures.	<ul style="list-style-type: none">• Executive Office• BIS Steering Committee

40-45	<p>DRILLS AND AD HOC REPORTS (1.4 Prepare Budget, 1.5 Prepare Decision Agenda, 1.10 Draft Governor's Budget, 2.4 Prepare Budget Revision, 2.5 Prepare Decision Agenda, 2.10 Draft Governor's Revised Budget, 3.6 Participate in Conference Hearings, 4.4 Prepare Veto Recommendations & Supporting Documentation, 4.13 Finalize Budget Documents, 5.5 Review & Recommend)</p>
	<p><i>Business Process:</i> This process would replace the current activities associated with gathering budget related information to respond to specific management and administration requests. Decision makers, rating agencies, Legislature, and other entities use this information. Some reports are specifically tied to a point in time of the budget cycle while others are on an as-needed basis.</p>
	<p><i>Change Description and Implications to the Department:</i></p> <p><i>Description</i></p> <ul style="list-style-type: none"> • Electronic submittal of information by departments, including updates and responses to questions and requests for additional information. • One-time data entry into a single system by departments or by Finance. • Historical information, narrative, and quantitative information will be maintained and available online to support the analytical and decision process. • Majority of the reports will be generated from BIS. • Final documents will be stored and index in BIS. • Use of electronic routing and approval. • Tools will be available to support the analytical process. • Electronic interface will exist between Finance, SCO and departments to provide actual expenditure and revenue information. • Routine reports will be automatically generated at specified times based on established business rules and confirmation by the user (i.e., Cash Flow, multi-year projections, SAL, One-time, etc.). • Legislature is an authorized system user through the entire budget process and will have access to the General Fund Update Summary for modeling scenarios based on issue status, authorizations and security. • Ability to re-categorize datasets such as issues and base funding in order to respond to specific information requests (i.e., HIPAA, fees, etc.) <p><i>Implications</i></p> <ul style="list-style-type: none"> • BIS is the primary source for reports and drills, eliminating the multiple systems and data redundancy currently in place. • Minimizes the manual data-entry of budget information into various spreadsheets and reports resulting in a quicker turn-around. • As a the primary source of data, BIS will allow the Central Unit to produce the majority of ad hoc reports with minimal data entry by the budget staff. • The original source data, if external to BIS, will be preserved as back-up information.

40-45	DRILLS AND AD HOC REPORTS (1.4 Prepare Budget, 1.5 Prepare Decision Agenda, 1.10 Draft Governor’s Budget, 2.4 Prepare Budget Revision, 2.5 Prepare Decision Agenda, 2.10 Draft Governor’s Revised Budget, 3.6 Participate in Conference Hearings, 4.4 Prepare Veto Recommendations & Supporting Documentation, 4.13 Finalize Budget Documents, 5.5 Review & Recommend)	
<ul style="list-style-type: none">Minimizes the need for manual calculations and data validation. System validation will occur based on defined business rules.Electronic workflow will be utilized during the review and approval process.Electronic access to system data by a variety of users (departments, Legislature, LAO, public, Finance, etc.) will require establishment and maintenance of secure technology and infrastructure including ability to authenticate users based on access and process authority. This will also require understanding and monitoring security risks and procedures by all who have online access rights.		
<p><i>Work steps/activities to support the change:</i></p> <ul style="list-style-type: none">Understand the requirements to electronically interface with SCO and departments.Define business rules that would trigger the alerts for routine reports and automatic calculations.Define business rules that would establish approval authority.Begin to define type of datasets to categorize budget issues and base funding to support the ad hoc drill process. Categories could include HIPAA, fees, etc.Define security rules and procedures based on user roles.		
<p><i>Risk Factors and Contingency Plans</i></p> <p><i>Risk 1:</i> Inability to reach consensus on use of the system by external entities.</p> <p><i>Contingency 1:</i> Continue the current process for receiving budget information to support ad hoc reports.</p> <p><i>Risk 2:</i> Inability to define and maintain appropriate levels of security and system access.</p> <p><i>Contingency 2:</i> Limit the access to the system.</p>		
Resources Needed	Dependencies	Sponsor
<ul style="list-style-type: none">BIS Project Team	<ul style="list-style-type: none">Agreements by departments to utilize the system.Implementation of workflow and document management capabilities.	<ul style="list-style-type: none">Executive OfficeBIS Steering Committee

EXTERNAL STAKEHOLDER PROCESS CHANGE

The external stakeholder process change analyzes the impact of process changes implied by the “To-Be” recommendations to external stakeholders. The tables presented on the following pages document anticipated changes, implications and sequencing to entities outside of Finance that may have interests and/or concerns resulting from any of the implemented “To-Be” model components. This includes the following:

- Legislative Analyst’s Office
- Legislative Counsel
- The Legislature
- State Controller’s Office
- Office of State Publishing
- Departments and Agencies

LEGISLATIVE ANALYST'S OFFICE (LAO)		
<p><i>Change Description and Implication:</i></p> <p>On-line access based on security authorization to details of the Governor's proposed Budget including budget change proposals and revenue estimates (Jan 10 and Spring); records of Legislative hearing changes including Conference changes; budget bill language sheets; and Section Letters.</p> <p>Interface with the LAO to obtain analyses of the Budget in a non-PDF format to minimize the re-keying of textual information into Finance's rebuttals, etc., and to have access to historical analyses from prior years.</p> <p><i>Implications:</i></p> <ul style="list-style-type: none"> • Need an agreement with LAO to allow Finance access to their analysis documents from BIS. • Finance will send electronic notifications to indicate the availability of various budget documents and information. • Hardcopies of BCPs, Section Letters, Legislative hearing changes and budget bill language sheets will no longer be provided. 		
<p><i>Risk Factors and Contingency Plans</i></p> <p>See Dependencies</p>		
Timing	Resources Needed	Dependencies
<ul style="list-style-type: none"> • Needs to be completed during the requirements and design phase. 	<ul style="list-style-type: none"> • BIS Project Team • LAO representative 	<ul style="list-style-type: none"> • Agreement between LAO and Finance to provide access to LAO documents and utilize BIS. • Establishment and maintenance of secure technology and infrastructure.

LEGISLATIVE COUNSEL		
<i>Change Description and Implication:</i> Electronic transmittal of budget bill language sheets and budget trailer bills. <i>Implications:</i> <ul style="list-style-type: none">• Eliminate the manual process of updating the budget bill language sheets.• Need an agreement with Legislative Counsel to allow Finance to submit the Budget Bill, including updates electronically from BIS.• Hardcopies of budget bill language sheets and trailer bills will no longer be provided.• Obtain electronic notifications/copies of Legislative Counsel changes to the Budget Bill or trailer bills to update BIS.		
<i>Risk Factors and Contingency Plans</i> See Dependencies		
Timing	Resources Needed	Dependencies
<ul style="list-style-type: none">• Needs to be completed during the requirements and design phase.	<ul style="list-style-type: none">• BIS Project Team• Legislative Counsel representative	<ul style="list-style-type: none">• Agreement between Legislative Counsel and Finance to exchange Budget Bill and trailer bill information electronically rather than the current manual process.

LEGISLATURE		
<p><i>Change Description and Implication:</i></p> <p>On-line access based on security authorization to details of the Governor's proposed budget including budget change proposals and revenue estimates (Jan 10 and Spring); records of Legislative hearing changes including conference changes; budget bill language sheets; and Section Letters.</p> <p>Legislature will formally approve the record of committee actions that have been entered into BIS. Legislative staff will also formally approve issues as budgeted by setting a system flag. If no formal action occurs within established time frames, it is deemed approved as recorded in BIS by budget units.</p> <p>On-line approval of other budget adjustments that require Legislative approval, including May Revision/Spring issues and Section Letters.</p> <p>Availability of reporting tools to create agendas for subcommittee and Conference Committee hearings and modeling of budget scenarios using BIS data.</p> <p><i>Implications:</i></p> <ul style="list-style-type: none"> • Finance will send electronic notifications (1) regarding proposed budget adjustments such as Section Letters and (2) indicating the availability of various budget documents and information. • Legislative staff will be required to access BIS to approve issues. • Data will be available based on issue status, authorization, and security. • Hardcopies of budget change proposals, Section Letters, Legislative hearing changes and budget bill language sheets will no longer be provided. 		
<p><i>Risk Factors and Contingency Plans</i></p> <p>See Dependencies</p>		
Timing	Resources Needed	Dependencies
<ul style="list-style-type: none"> • Needs to be completed during the requirements and design phase. 	<ul style="list-style-type: none"> • BIS Project Team • Legislative Staff 	<ul style="list-style-type: none"> • Agreement by the Legislature to utilize BIS. • Establishment and maintenance of secure technology and infrastructure.

STATE CONTROLLER'S OFFICE (SCO)		
<p><i>Change Description and Implication:</i></p> <p>Electronic interface will exist between Finance and SCO to share appropriation information from the final Budget Act and revisions to expenditure authority, actual expenditure and revenue information, and position information.</p> <p><i>Implications:</i></p> <ul style="list-style-type: none"> • Prior year expenditure and revenue data will come directly from the SCO rather than departments. • Position information will come directly from SCO rather than departments. Departments can access BIS to make necessary changes to position detail. • Eliminates the manual data entry of actual expenditure and revenue information into spreadsheets for cash flow projections. • Automatic notification of revisions to expenditure authority. 		
<p><i>Risk Factors and Contingency Plans</i></p> <p>See dependencies</p>		
Timing	Resources Needed	Dependencies
<ul style="list-style-type: none"> • Needs to be completed during the requirements and design phase. 	<ul style="list-style-type: none"> • BIS Project Team • SCO Staff 	<ul style="list-style-type: none"> • Agreement between SCO and Finance to exchange appropriation, expenditure, revenue, and position information electronically rather than the current manual processes. • Establishment and maintenance of secure technology and infrastructure.

OFFICE OF STATE PUBLISHING (OSP)		
<p><i>Change Description and Implication:</i></p> <p>The majority of budget documents will be produced using BIS and stored/distributed electronically. Some data will be directly available in BIS while other information and reports will be developed based on output from BIS. Finance will no longer utilize OSP to publish most budget related documents.</p> <p><i>Implications:</i></p> <ul style="list-style-type: none"> • Eliminates the key entry of budget information by OSP that is currently required as part of the manual update process of the budget galleys. • Eliminates the manual process of revising/creating budget bill language sheets. • Reduced printing of budget publications. • Finance will publish all budget documents to the Web. • Hard copies will only be available upon request. 		
<p><i>Risk Factors and Contingency Plans</i></p> <p><i>Risk 1:</i> The inability of Finance to support production of publications</p> <p><i>Contingency 1:</i> Provide OSP with hard copies of image ready documents to produce requested publications.</p>		
Timing	Resources Needed	Dependencies
<ul style="list-style-type: none"> • Needs to be completed during the requirements and design phase. 	<ul style="list-style-type: none"> • BIS Project Team • OSP Staff 	<ul style="list-style-type: none"> • Agreement between OSP and Finance to exchange budget information electronically rather than the current manual processes.

DEPARTMENTS/AGENCIES

Change Description and Implication:

Data typically submitted by departments (i.e., BCPs, Finance Letters, Section Letters, expenditures and revenue detail, etc.) will be entered once by departments directly into BIS to support the budget development and administration processes. Revisions will also be entered into BIS. Departments when responding to questions and requests for additional information may also use BIS.

Baseline budgets will be automatically adjusted to reflect prior year decisions (i.e., one-time adjustments, limited term funding, full year program costs, etc.).

Data and supporting documentation will be validated at the initial point-of-entry into BIS against a set of business rules and edits.

Workflow will be used to support the review and approval within and between departments, agencies and Finance. Electronic signatures will be used by departments/agencies to submit BCPs, Finance Letters, Section Letters, etc.

Automatic deadline alerts, notification and distribution between departments and Finance will support the budget development and administration processes based on established business rules.

Implications:

- Reduced reliance on paper and associated manual work necessary to handle and administer paper-based processes since authorized users will interact electronically through BIS as much as possible.
- Majority of data to support the budget development and administration processes will be entered directly into BIS by departments or submitted electronically.
- Data will be entered at the lowest level of detail required for department budget management purposes and will be rolled up to support Finance budget information requirements, based on established business rules. This eliminates the manual posting and verification of data in multiple Finance documents.
- Totals will be automatically calculated based on established business rules, simplifying the data entry and validation processes and improving the data quality.
- Reduces the number of handoffs during budget development between departments and Finance associated with the key entry of fiscal data.
- Reduces the manual work and searching of information across multiple disparate sources.
- Requires a secure technology infrastructure including encrypting data and authenticating users.
- Significantly reduces the key entry of budget information by Finance that is currently required as part of the manual budget development and administration processes. Finance will continue to enter data to support confidential decisions.

DEPARTMENTS/AGENCIES		
<ul style="list-style-type: none"> Eliminate the need for departments and Finance to track and record specified baseline adjustments. Departments must ensure the appropriate application of electronic signatures through an authentication process. 		
<p><i>Risk Factors and Contingency Plans</i></p> <p><i>Risk 1:</i> The inability to reach consensus on use of BIS by departments and agencies.</p> <p><i>Contingency 1a:</i> Mandate use of BIS by departments and agencies.</p> <p><i>Contingency 1b:</i> Continue the current processes of receiving and submitting budget information.</p> <p><i>Risk 2:</i> The inability to define and maintain appropriate levels of security and system access.</p> <p><i>Contingency 2:</i> Limit access to system.</p>		
Timing	Resources Needed	Dependencies
<ul style="list-style-type: none"> Decisions regarding the statewide scope need to be made prior to the procurement process. 	<ul style="list-style-type: none"> BIS Project Team Departmental/agency workgroup. 	<ul style="list-style-type: none"> Executive Office sponsorship of a statewide project scope. Agreement between SCO and Finance to exchange appropriation, expenditure, revenue, and position information electronically rather than the current manual processes. Agreement between departments/agencies and Finance to utilize BIS for the budget development and administration processes. Establishment and maintenance of secure technology and infrastructure.

POLICY IMPACT

The Policy Impact strategy identifies process changes that require a change to SAM, SIMM, or statute to implement the “To-Be” model. The following tables identify where potential policy change may be required, the specific “To-Be” process models influencing the policy change, and the necessary activities to produce the desired results. Additionally, the strategy identifies contingencies that address certain events that may occur.

2-3, 6, 12, 39, 46, 50, 51, 54	SIGNATURE AND DELEGATION OF AUTHORITY		
<p><i>Policy Change Description and Implications:</i></p> <p>Establish signature and delegation authority so that the lowest appropriate staff level is responsible for approving and signing various budget documents such as budget instructions, Executive Orders, Section Letters, budget revisions, and Form 22s.</p> <ul style="list-style-type: none">• Delegation rules will specify the sequencing and signature authority for budget instructions.• The assignment of budget instructions numbers/identifiers will be automatically generated by the system.• Use of electronic signatures by departments, agencies, and Finance to support the submittal and approval of budget change proposals, Finance Letters, Section Letters, executive orders, etc.• Departments must ensure the appropriate application of electronic signatures through an authentication process.• Delegation rules will specify signature authority for executive orders, Section Letters, budget revisions, and other Finance documents.			
<p><i>Department work steps/activities to support the change:</i></p> <ul style="list-style-type: none">• Identify the appropriate management level signature authority for budget instructions currently processed within Finance.• Determine whether a formal policy needs to be written to ensure appropriate application of electronic signatures through an authentication process.			
<p><i>Contingency Plans</i></p> <p><i>Contingency 1:</i> All budget instructions would continue to be signed by the Central Unit PBM.</p> <p><i>Contingency 2:</i> Hard copy cover sheets with necessary signatures will be submitted separately from the electronic detail that is submitted by departments for Finance review/approval.</p>			
Timing	Resources Needed	Dependencies	Sponsor
<ul style="list-style-type: none">• Can be done at any time prior to implementation.	<ul style="list-style-type: none">• BIS Project Team• Steering Committee	<ul style="list-style-type: none">• Willingness to decentralize the budget instruction process	<ul style="list-style-type: none">• Executive Office

8, 12, 32-33, 36	REVISION/ELIMINATION OF PUBLISHED DOCUMENTS		
<i>Policy Change Description and Implications:</i>			
<p>Revise or eliminate specified budget publications to reflect enhanced reporting and system capabilities in BIS such as on-line queries, availability of information on the web, and electronic distribution of publications.</p> <ul style="list-style-type: none">• New format and content will be available.• Information will be available electronically.• Authorized users will be able to access detailed information stored and maintained in BIS.• Production of budget publications will primarily be paperless.			
<i>Department work steps/activities to support the change:</i>			
<ul style="list-style-type: none">• Identify which publications will be revised or eliminated.• Obtain consensus from stakeholders to ensure that the publications provide the appropriate level of information.• Determine SAM and/or statutory implications (Government Code).• Revise SAM and/or statutes to reflect the elimination of specified publications or the level of information produced in budget documents, as necessary.			
<i>Contingency Plans</i>			
<i>Contingency 1:</i> Revise BIS to accommodate the required format and content of published budget documents.			
Timing	Resources Needed	Dependencies	Sponsor
<ul style="list-style-type: none">• Complete prior to definition of final report specifications.	<ul style="list-style-type: none">• BIS Project Team• External stakeholders	<ul style="list-style-type: none">• None	<ul style="list-style-type: none">• Executive Office

COMPUTER SYSTEMS

The Computer Systems analysis identifies the functionality in the “To-Be” model that will be supported by technology or automation. The tables on the following pages identify the types of technology or automation that will support the “To-Be” process changes and includes a brief description about the particular technology. This analysis is not intended to describe the automation in detail, or the “how” of automation; that activity will be performed during the detailed design phase of the project. Descriptions or comments about the automation are only intended to describe the possibility of technology as it relates to the “To-Be”.

DOCUMENT MANAGEMENT/IMAGING

Document Management is concerned with the storage and retrieval of documents. Documents are files that you create or receive – they can be images scanned from paper, word processing files, spreadsheets, pictures or any other paper-based or electronic document. Documents are managed from inception to their destruction or archival. The life cycle of a document includes its creation, revision, review, storage, dissemination, and destruction, when appropriate. Document management utilizes related processes based on established business rules for retrieving, securing, sharing, tracking, revising, distributing and destroying documents and the information they contain.

Imaging is a method for converting paper documentation into an electronic format, using scanners and associated techniques such as Optical Character Recognition (OCR), etc. Document management software supports the computerized management of electronic as well as paper-based documents. Document management software generally include the following components:

- A database system to organize stored documents
- A search mechanism to quickly find specific documents
- An optical scanner and OCR system to convert paper documents into an electronic form

DATA WAREHOUSE

A Data Warehouse is a copy of transaction data specifically structured for querying and reporting. It is:

- *Subject-oriented*: Focuses on natural data groups such as budget change requests (augmentations and reductions), baseline adjustments, Conference Committee actions, etc. and is not limited to application boundaries such as BUDDS/PE, BPS (Schedule 10s), and Change Book.
- *Integrated*: Associates and links data maintained in separate applications (BIS, LIS, etc.) and provides consistent formats and coding to support querying and reporting from a single location.
- *Time-variant*: Data is organized by time and is identified in diverse time slices/versions.
- *Read-Only*: No updates are allowed. Only look-up and query activities (and load activities) are allowed.

BUSINESS INTELLIGENCE

Business Intelligence tools provide a mechanism to access and analyze data in a data warehouse. It is an "informational application" (in distinction to an "operational application" that collects the data in the course of normal business operation). Business Intelligence software generally includes the following:

- Query and reporting tools
- What-if and statistical analysis

WORKFLOW

Workflow is a term used to describe the tasks, the organizations/people involved, the required input and output information, and tools needed for each step in a business process. Workflow routes documents step-by-step through each business process based on business rules. Triggers can be implemented in the workflow system to alert users when business products are due or overdue.

Workflow automation products create a model of those processes and provide tools to manage and enforce the consistent handling of work. A workflow model knows all the procedures, steps in a procedure, and rules for each step, and determines whether the process is ready to move to the next step. Workflow also allows the definition of different workflows for different types of jobs. So, for example, in publishing budget documents, the Budget Highlights would be automatically routed from the budget analyst, through all levels of Unit Management, to the Central Unit to generate a consolidated report, then to the Executive Office for approval. At each stage in the workflow, one individual or group is responsible for a specific task. Once the task is complete, the workflow software ensures that the individuals responsible for the next stage are notified and receive the data they need to execute their process tasks.

REPORTING – STANDARD REPORTS AND AD-HOC REPORTS

In BIS there are many types of report users, including the following:

- **Production Report Consumers** – these are users who have basic reporting needs – these users will most likely represent the largest group of users for BIS and can be internal or external to Finance. These are users who simply want to log into an easily accessible environment, such as the Web, click on a link, and get a predefined report. Report consumption can happen multiple times per day, weekly, monthly, or quarterly.
- **Interactive Report Consumers** – interactive report consumers will have reporting requirements that are less defined. For instance, they might want the ability to filter reports based on date, budget issue, or other categories. They might want to link from one report to another to get more details. They might want to import data from their report into a desktop environment (e.g., MS Excel) for further analysis.
- **Business Report Authors** – will be the power users within the BIS reporting environment. These users will need more reports than the standard, predefined BIS reports. Business report authors will often have one-time, ad hoc data requests that need to be met quickly to make important business decisions. These users will require a self-service report development (authoring) capability, which is easy to use yet powerful enough to offer the right data in the right way. On-the-fly report creation, calculations, filtering, grouping, sorting, and other ad hoc functions are what these users require.
- **Professional Report Authors** – these users are tasked with developing, maintaining, and deploying the appropriate reports to typical interactive and production report consumers. They need a powerful reporting tool that is flexible and robust enough to create any style of report from any data source in a short time.

ELECTRONIC OR DIGITAL SIGNATURES

Digital signatures use a code that can be attached to an electronically transmitted message or an electronic activity (i.e., approving a budget item) to uniquely identify the sender. Like a written signature, the purpose of a digital signature is to guarantee that the individual sending the message, or taking the action, is really who he or she claims to be. The uses of electronic signatures require compliance with application and security standards established by the Federal government.

INTEGRATED SOLUTION

Integration generally means combining parts so that they work together or form a whole. For BIS this refers to a single technology solution that addresses the Finance's budget development needs. Budget changes are currently recorded in multiple systems, which operate on a year-to-year basis. In addition, manual processes support the reporting of this information for each department and specified programs. The combination of manual and automated processes makes it difficult to track the life cycle and history of an issue. An integrated solution will allow for tracking the same issue from the point of inception through disposition or enactment and provide historical information regarding budget issues.

ELECTRONIC INTERFACES

An interface is a means to exchange data stored on one application/computer with another application/computer. It implies the need to make an appropriate physical connection so that BIS can communicate or exchange/receive information to/from another application.

COMPUTER SYSTEMS ANALYSIS MATRIX

The following table summarizes those processes in the "To-Be" model that will be supported by the technology described above. Please note that the concepts "electronic interfaces" and "integrated solution" are inherent to the overall "To-Be" recommendations for BIS; consequently, these concepts are not presented in the table. This table is not intended to describe the technology in detail. That activity will be performed during the detailed design phase of the overall BIS project. The table is intended to describe what type of technology will be utilized to support the "To-Be" processes.

Ref #	"As-Is" / Legacy Process Functionality	"To-Be" Process Functionality	Document Management/Imaging	Data Warehouse	Business Intelligence	Workflow	Ad-Hoc Reporting Tools	Electronic Signature
Formal Process to Inform Departments								
2	Approve and assign budget letter number	1.1 Distribute Budget Instructions 2.1 Distribute Instructions 5.1 Administer Budget Act Requirements				X		
3	Sign budget letter	1.1 Distribute Budget Instructions 2.1 Distribute Instructions 5.1 Administer Budget Act Requirements						X
4	Distribute budget letter	1.1 Distribute Budget Instructions 2.1 Distribute Instructions 5.1 Administer Budget Act Requirements	X			X		
Incorporate into Governor's Proposed State Fiscal Plan								
5	Update expenditures (PY, CY, BY)	1.2 Prepare Budget Information 1.4 Prepare Budget 1.8 Record Decision 1.9 Update for Detail, etc. 5.10 Record and Notify		X		X		

Ref #	"As-Is" / Legacy Process Functionality	"To-Be" Process Functionality	Document Management/Imaging	Data Warehouse	Business Intelligence	Workflow	Ad-Hoc Reporting Tools	Electronic Signature
6	Approve budget change request (CY/BY)	1.4 Prepare Budget 1.8 Record Decision 1.9 Update for Detail, etc.	X	X		X		X
7	Update Planning Estimate system (CY/BY)	1.3 Prepare Budget Information 1.4 Prepare Budget 1.8 Record Decision 1.9 Update for Detail, etc.						
8	Update galley and related documents (PY, CY, BY)	1.10 Draft Governor's Budget 1.12 Publish Governor's Budget and Related Documents	X			X	X	
9	Update revenue estimates (PY, CY, BY)	1.3 Prepare Budget Information 1.4 Prepare Budget 1.8 Record Decision			X			
10	Update position and PY cost estimates (PY, CY, BY)	1.3 Prepare Budget Information 1.4 Prepare Budget 1.8 Record Decision 1.9 Update for Detail, etc.						
11	Update budget bill language sheets (BY)	1.9 Update for Detail, etc. 1.10 Draft Governor's Budget 1.12 Publish Governor's Budget and Related Documents	X				X	

Ref #	"As-Is" / Legacy Process Functionality	"To-Be" Process Functionality	Document Management/Imaging	Data Warehouse	Business Intelligence	Workflow	Ad-Hoc Reporting Tools	Electronic Signature
12	Create and distribute Spring Finance Letters (CY/BY), includes update of expenditures and revenues	2.3 Prepare Budget Information 2.4 Prepare Budget Revision 2.8 Record Decision 2.9 Update for Detail, etc. 2.10 Draft Governor's Revised Budget	X		X	X		X
Legislative Hearings								
13	Enter change in Change Book (CY/BY)	3.4 Participate in Legislative Budget Hearings				X	X	
14	Close item and print amendment page (BY)	3.4 Participate in Legislative Budget Hearings				X		
15	Update budget bill language sheet (BY)	3.4 Participate in Legislative Budget Hearings	X				X	
16	Assemble budget bill language sheet and forward (BY)					X	X	
17	Log, validate, and distribute budget bill language sheet package (BY)					X		
18		3.2 Prepare LAO Rebuttal & Testimony Notes	X	X				
Conference Committee Hearings								

Ref #	"As-Is" / Legacy Process Functionality	"To-Be" Process Functionality	Document Management/Imaging	Data Warehouse	Business Intelligence	Workflow	Ad-Hoc Reporting Tools	Electronic Signature
19	Run side-by-side house comparison and update to ensure issue alignment	3.6 Participate in Conference Hearings			X		X	
20	Prepare conference position papers and binders	3.6 Participate in Conference Hearings	X			X	X	
21	Attend hearings, take/distribute notes, and reconcile hearing actions	3.6 Participate in Conference Hearings	X					
22	Enter change in Change Book (CY/BY)	3.6 Participate in Conference Hearings				X	X	
23	Close item and print amendment page (BY)	3.6 Participate in Conference Hearings				X		
24	Update budget bill language sheet (BY)	3.6 Participate in Conference Hearings	X			X		
25	Assemble budget bill language sheet and forward (BY)	3.6 Participate in Conference Hearings				X		
26	Log, validate, and distribute budget bill language sheet package (BY)	3.6 Participate in Conference Hearings				X		

Ref #	"As-Is" / Legacy Process Functionality	"To-Be" Process Functionality	Document Management/Imaging	Data Warehouse	Business Intelligence	Workflow	Ad-Hoc Reporting Tools	Electronic Signature
Prepare Recommended Changes (Veto)								
27	Review legislative augmentations for vetoes	4.1 Review for Potential Vetoes			X	X	X	
28	Prepare/revise write-ups/recommendations and back-up information	4.4 Prepare Veto Recommendations & Supporting Documentation	X	X		X		
29	Modify/complete tracking spreadsheet, including unit consolidation	4.4 Prepare Veto Recommendations & Supporting Documentation 4.7 Record Veto Decisions					X	
30	Prepare agenda	4.4 Prepare Veto Recommendations & Supporting Documentation					X	
31	Prepare veto messages	4.8 Prepare Veto Messages 4.9 Process Veto Messages 4.11 Finalize Veto Message Package				X		
32	Prepare and finalize budget highlights, including summary charts	4.13 Produce Final Budget Documents	X				X	

Ref #	"As-Is" / Legacy Process Functionality	"To-Be" Process Functionality	Document Management/Imaging	Data Warehouse	Business Intelligence	Workflow	Ad-Hoc Reporting Tools	Electronic Signature
33	Distribute final veto messages and budget highlights	4.11 Finalize Veto Message Package 4.13 Produce Final Budget Documents	X				X	
Budget Summary Package								
34	Update final Change Book worksheets						X	
35	Update and verify Change Book system	3.6 Participate in Conference Hearings 4.7 Record Veto Decisions					X	
36	Print, validate, and distribute final Change Book publication	4.13 Produce Final Budget Documents					X	
37	Modify Budget Act to reflect vetoes and create draft Final Budget Summary	4.13 Produce Final Budget Documents					X	
38	Validate, print and distribute Final Budget Summary publication	4.13 Produce Final Budget Documents					X	
39		5.1 Administer Budget Act Requirements						X
Drills and Ad-Hoc Reports								

Ref #	"As-Is" / Legacy Process Functionality	"To-Be" Process Functionality	Document Management/Imaging	Data Warehouse	Business Intelligence	Workflow	Ad-Hoc Reporting Tools	Electronic Signature
40	General Fund updates	1.4 Prepare Budget 1.5 Prepare Decision Agenda 1.10 Draft Governor's Budget 2.4 Prepare Budget Revision 2.5 Prepare Decision Agenda 2.10 Draft Governor's Revised Budget 3.6 Participate in Conference Hearings 4.4 Prepare Veto Recommendations & Supporting Documentation	X				X	
41	Cash flow analysis	1.4 Prepare Budget 1.10 Draft Governor's Budget 2.4 Prepare Budget Revision 2.10 Draft Governor's Revised Budget 4.13 Finalize Budget Documents 5.5 Review & Recommend			X		X	
42	Multi-Year Projections	1.4 Prepare Budget 1.10 Draft Governor's Budget 2.4 Prepare Budget Revision 2.10 Draft Governor's Revised Budget 4.13 Finalize Budget Documents			X	X	X	

Ref #	"As-Is" / Legacy Process Functionality	"To-Be" Process Functionality	Document Management/Imaging	Data Warehouse	Business Intelligence	Workflow	Ad-Hoc Reporting Tools	Electronic Signature
43	Calculate State Appropriations Limit	1.4 Prepare Budget 1.10 Draft Governor's Budget 2.4 Prepare Budget Revision 2.10 Draft Governor's Revised Budget	X		X	X	X	
44	One-time costs	1.4 Prepare Budget 1.10 Draft Governor's Budget 2.4 Prepare Budget Revision 2.10 Draft Governor's Revised Budget			X	X	X	
45	Ad-Hoc and Other Misc. Drills	1.4 Prepare Budget 1.5 Prepare Decision Agenda 1.10 Draft Governor's Budget 2.4 Prepare Budget Revision 2.5 Prepare Decision Agenda 2.10 Draft Governor's Revised Budget 3.6 Participate in Conference Hearings 4.4 Prepare Veto Recommendations & Supporting Documentation 5.5 Review & Recommend	X		X	X	X	
Process Budget Adjustments								

Ref #	"As-Is" / Legacy Process Functionality	"To-Be" Process Functionality	Document Management/Imaging	Data Warehouse	Business Intelligence	Workflow	Ad-Hoc Reporting Tools	Electronic Signature
46	Log receipt of request from department	5.5 Review & Recommend				X		X
47	Validate the adjustment and make recommendations	5.5 Review & Recommend	X	X	X	X		X
48	Prepare budget adjustment package for Financial Operations	5.5 Review & Recommend 5.10 Record & Notify				X	X	
49	Log receipt of package from units	5.10 Record & Notify				X		
50	Validate the package, create Executive Order (if necessary), and forward to State Controller's	5.5 Review & Recommend 5.10 Record & Notify				X	X	X
Deficiency Notification								
51	Log receipt of request from department	5.5 Review & Recommend				X		X
52	Prepare 10-day notification letter	5.5 Review & Recommend				X		X
53	Analyze request and prepare recommendation	5.5 Review & Recommend	Y	X	X			

Ref #	"As-Is" / Legacy Process Functionality	"To-Be" Process Functionality	Document Management/Imaging	Data Warehouse	Business Intelligence	Workflow	Ad-Hoc Reporting Tools	Electronic Signature
54	Prepare legislative notification letter for approved requests	5.5 Review & Recommend 5.6 Process Recommendations 5.8 Finalize & Transmit Notification				X		X
55	Incorporate into state fiscal plan	5.10 Record & Notify			X	X	X	
56	Notify departments	5.10 Record & Notify				X		

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DOCUMENT HANDLING/IMAGING

The document handling/imaging analysis focuses on documenting the “To-Be” processes that imply a change in how documents are handled. Additionally, issues related to policy changes and data conversion are discussed, as well as risks, dependencies and potential use of imaging technology to support the process.

4	DISTRIBUTE BUDGET INSTRUCTIONS
<i>Process Description:</i>	
Authorized subscribers will receive notification or electronic copy of new or revised budget instructions. Budget instructions will be stored in a searchable repository by subject matter.	
<i>Document Handling Description:</i>	
Process will be paperless, using web technology, email and search engine capabilities.	
<i>Issues to be addressed</i>	<i>Action Description</i>

4	DISTRIBUTE BUDGET INSTRUCTIONS	
No	Document Handling Policy (Revision or Development)	
No	Archival Policy Revision	
Yes	Potential for enabling technology	Determine conversion effort to store existing budget instructions in BIS.
No	Existing paper documents	
No	Possible legal impact/issues	
No	Other	
<i>Risk Factors and Contingency Plans</i>		
None		
Dependencies		Sponsor
• None		• None

6, 12, 47, 53	BUDGET CHANGE REQUESTS
<i>Process Description:</i> Budget change requests will be entered directly into BIS. However, additional information may be submitted electronically, provided in hardcopy, or entered directly into BIS.	
<i>Document Handling Description:</i> Process will be paperless, using web technology and search engine capabilities. Documents needed to support the budget change request that are external to BIS (i.e., newspaper articles, reports, spreadsheets, etc.) will be scanned and associated with BIS issues.	
<i>Issues to be addressed</i>	<i>Action Description</i>

6, 12, 47, 53	BUDGET CHANGE REQUESTS	
Yes	Document Handling Policy (Revision or Development)	Develop document-handling policy to address how and when external supporting documentation is associated to issues maintained in BIS.
Yes	Archival Policy Revision	Evaluate existing archival and destruction policies and establish a standard archival/destruction policy for Finance.
Yes	Potential for enabling technology	Determine conversion effort to store existing budget related documents in BIS.
Yes	Existing paper documents	Based on the archival and document-handling policies, determine the storage and retention requirements for existing hardcopy documents.
No	Possible legal impact/issues	
No	Other	
<i>Risk Factors and Contingency Plans</i> None		
Dependencies		Sponsor
<ul style="list-style-type: none"> Acquisition of imaging and storage capabilities to support Finance policies. Consensus on a coding structure to support archival and retrieval of documents. 		<ul style="list-style-type: none"> None

8	UPDATE GALLEY AND RELATED DOCUMENTS
<p><i>Process Description:</i></p> <p>The Governor's Budget and related documents will be compiled in BIS.</p>	
<p><i>Document Handling Description:</i></p> <p>Process merges BIS information, budget narrative and related data (i.e., charts, graphs, tables) to produce the Governor's Budget and other related documents. The documents will be available electronically and hardcopies will only be provided upon request.</p> <p>Web technology and search engine capabilities will support this process.</p>	
<i>Issues to be addressed</i>	<i>Action Description</i>

8	UPDATE GALLEY AND RELATED DOCUMENTS	
Yes	Document Handling Policy (Revision or Development)	Determine the need for a policy related to the review and approval of changes to budget narrative.
Yes	Archival Policy Revision	Evaluate existing archival and destruction policies and establish a standard archival/destruction policy for Finance.
Yes	Potential for enabling technology	Determine conversion effort to store existing budget publications in BIS.
Yes	Existing paper documents	Based on the archival and document-handling policies, determine the storage and retention requirements for existing hardcopy documents.
Yes	Possible legal impact/issues	Identify ADA and other access requirements associated with public documents.
No	Other	
<p><i>Risk Factors and Contingency Plans</i></p> <p>Technology and effort required to support the desired format and content of the published budget documents may be difficult to implement.</p> <p><i>Contingency 1:</i> Extract data from BIS and continue current publication process. <i>Contingency 2:</i> Revised desired format and content.</p>		
Dependencies		Sponsor
<ul style="list-style-type: none"> Acquisition of imaging and storage capabilities to support Finance policies. 		<ul style="list-style-type: none"> None

11, 15, 24	UPDATE BUDGET BILL LANGUAGE SHEETS
<i>Process Description:</i> Budget bill information will be generated from BIS and updated online.	
<i>Document Handling Description:</i> The current manual process of updating budget bill language will be eliminated through online BIS capabilities. During the Legislative process new/revised language will be received either electronically or scanned using imaging technology into BIS to update the Budget Bill.	
<i>Issues to be addressed</i>	<i>Action Description</i>

11, 15, 24	UPDATE BUDGET BILL LANGUAGE SHEETS	
No	Document Handling Policy (Revision or Development)	
Yes	Archival Policy Revision	Evaluate existing archival and destruction policies and establish a standard archival/destruction policy for Finance.
No	Potential for enabling technology	
Yes	Existing paper documents	Based on the archival and document-handling policies, determine the storage, retention and access requirements for existing hardcopy documents.
No	Possible legal impact/issues	
No	Other	
<i>Risk Factors and Contingency Plans</i>		
None		
Dependencies		Sponsor
<ul style="list-style-type: none"> Acquisition of imaging and storage capabilities to support Finance policies. Agreement between Legislative Counsel and Finance to exchange Budget Bill and trailer bill information electronically rather than the current manual process. 		<ul style="list-style-type: none"> None

18	PREPARE LAO REBUTTAL & TESTIMONY NOTES	
<i>Process Description:</i>		
The LAO analysis and related documents will be searchable by subject matter through BIS. LAO rebuttals prepared by Finance and testimony notes will be available in BIS.		
<i>Document Handling Description:</i>		
The LAO analysis and related documents will be available via BIS to assist in the preparation of rebuttals. Rebuttals will be associated to related issues in BIS.		
Process will be paperless, using document management and search engine capabilities.		
<i>Issues to be addressed</i>		<i>Action Description</i>

18	PREPARE LAO REBUTTAL & TESTIMONY NOTES	
No	Document Handling Policy (Revision or Development)	
Yes	Archival Policy Revision	Evaluate existing archival and destruction policies and establish a standard archival/destruction policy for Finance.
Yes	Potential for enabling technology	Determine security and access permissions necessary to utilize search capabilities against LAO's analyses.
Yes	Existing paper documents	Based on the archival and document-handling policies, determine the storage, retention and access requirements for existing hardcopy documents.
No	Possible legal impact/issues	
No	Other	
<i>Risk Factors and Contingency Plans</i>		
None		
Dependencies		Sponsor
<ul style="list-style-type: none"> Agreement between LAO and Finance to access their budget analysis via the BIS search function. 		<ul style="list-style-type: none"> None

20-21	CONFERENCE HEARINGS
<i>Process Description:</i> Position papers will be created and stored in BIS and associated with Conference Agenda items. BIS will be used to record Conference actions.	
<i>Document Handling Description:</i> The Conference Agenda, Position Papers and supporting documents will be compiled in BIS to produce an electronic Testimony Binder. The current manual note taking process will be largely replaced by Finance note takers recording hearing actions directly into BIS. Hearing notes will be immediately available electronically. Process will be paperless to the extent possible.	
<i>Issues to be addressed</i>	<i>Action Description</i>

20-21 CONFERENCE HEARINGS		
No	Document Handling Policy (Revision or Development)	
Yes	Archival Policy Revision	Evaluate existing archival and destruction policies and establish a standard archival/destruction policy for Finance.
Yes	Potential for enabling technology	Determine security and access requirements necessary to support remote access to BIS during Conference Hearings. Determine the usefulness of an electronic testimony "binder".
Yes	Existing paper documents	Based on the archival and document-handling policies, determine the storage, retention and access requirements for existing hardcopy documents.
No	Possible legal impact/issues	
No	Other	
<i>Risk Factors and Contingency Plans</i>		
None		
Dependencies		Sponsor
<ul style="list-style-type: none"> Ability to establish a remote connection to BIS. 		<ul style="list-style-type: none"> None

28, 31	PREPARE VETO RECOMMENDATIONS AND MESSAGES
<p><i>Process Description:</i></p> <p>Veto recommendations will be created and stored in BIS. Supporting information may be submitted electronically, provided in hardcopy, or entered directly into BIS.</p>	
<p><i>Document Handling Description:</i></p> <p>Documents needed to support the veto recommendations that are external to BIS will be scanned and associated with the veto issues.</p> <p>The final Veto messages will be produced in BIS eliminating the need for units to transmit veto messages to the Central Unit for consolidation.</p> <p>Process will be paperless.</p>	
<i>Issues to be addressed</i>	<i>Action Description</i>

28, 31 PREPARE VETO RECOMMENDATIONS AND MESSAGES		
No	Document Handling Policy (Revision or Development)	
Yes	Archival Policy Revision	Evaluate existing archival and destruction policies and establish a standard archival/destruction policy for Finance.
No	Potential for enabling technology	
Yes	Existing paper documents	Based on the archival and document-handling policies, determine the storage, retention and access requirements for existing hardcopy documents.
No	Possible legal impact/issues	
No	Other	
<i>Risk Factors and Contingency Plans</i>		
None		
Dependencies		Sponsor
<ul style="list-style-type: none"> Acquisition of imaging and storage capabilities to support Finance policies. Consensus on a coding structure to support archival and retrieval of documents. 		<ul style="list-style-type: none"> None

32-33	PRODUCE FINAL BUDGET DOCUMENTS
<i>Process Description:</i> Final budget documents and the Veto Message Package currently published at OSP will be produced from BIS and available electronically.	
<i>Document Handling Description:</i> The Final Veto Message Package will be produced in BIS eliminating the need for the Central Unit to consolidate individual unit veto messages. Process will be paperless and hardcopies will be available only on request.	
<i>Issues to be addressed</i>	<i>Action Description</i>

32-33 PRODUCE FINAL BUDGET DOCUMENTS		
No	Document Handling Policy (Revision or Development)	
Yes	Archival Policy Revision	Evaluate existing archival policies/practices and establish a standard archival policy for Finance.
Yes	Potential for enabling technology	Determine conversion effort to store existing budget publications in BIS.
Yes	Existing paper documents	Based on the archival and document-handling policies, determine the storage, retention and access requirements for existing hardcopy documents.
Yes	Possible legal impact/issues	Identify ADA and other access requirements associated with public documents.
No	Other	
<p><i>Risk Factors and Contingency Plans</i></p> <p>Technology and effort required to support the desired format and content of the published budget documents may be difficult to implement.</p> <p><i>Contingency 1:</i> Extract data from BIS and continue current publication process. <i>Contingency 2:</i> Revised desired format and content.</p>		
Dependencies		Sponsor
<ul style="list-style-type: none"> Acquisition of imaging and storage capabilities to support Finance policies. 		<ul style="list-style-type: none"> None

43	STATE APPROPRIATIONS LIMIT (SAL) CALCULATION	
Process Description: Receipt of external information from local government entities to be included in the SAL calculation process.		
Document Handling Description: The original hard copy source documents will be scanned into BIS and preserved as back-up information to the SAL calculation.		
Issues to be addressed		Action Description
No	Document Handling Policy (Revision or Development)	
Yes	Archival Policy Revision	Evaluate existing archival policies/practices and establish a standard archival policy for Finance.
Yes	Potential for enabling technology	Determine conversion effort to store existing SAL documents in BIS.
Yes	Existing paper documents	Based on the archival and document-handling policies, determine the storage, retention and access requirements for existing hardcopy documents.
No	Possible legal impact/issues	
No	Other	
Risk Factors and Contingency Plans None		

43	STATE APPROPRIATIONS LIMIT (SAL) CALCULATION	
	Dependencies	Sponsor
	<ul style="list-style-type: none">• Acquisition of imaging and storage capabilities to support Finance policies.• Consensus on a coding structure to support archival and retrieval of documents.	<ul style="list-style-type: none">• None

45	AD-HOC AND OTHER MISCELLANEOUS DRILLS	
Process Description:		
Departments and budget units may be required to input drill information directly into BIS or provide a hard copy response to drills.		
Document Handling Description:		
The original hard copy source documents will be scanned into BIS and preserved as back-up information to drills.		
Issues to be addressed		Action Description
No	Document Handling Policy (Revision or Development)	
Yes	Archival Policy Revision	Evaluate existing archival policies/practices and establish a standard archival policy for Finance.
Yes	Potential for enabling technology	Determine conversion effort to store existing drills and related back-up information in BIS.
Yes	Existing paper documents	Based on the archival and document-handling policies, determine the storage, retention and access requirements for existing hardcopy documents.
No	Possible legal impact/issues	
No	Other	
Risk Factors and Contingency Plans		
None		

45	AD-HOC AND OTHER MISCELLANEOUS DRILLS	
Dependencies		Sponsor
<ul style="list-style-type: none">• Acquisition of imaging and storage capabilities to support Finance policies.• Consensus on a coding structure to support archival and retrieval of documents.		<ul style="list-style-type: none">• None

FORMS AND CORRESPONDENCE

The Forms and Correspondence strategy identifies where the gap analysis comparison of the “As-Is” to the “To-Be” indicates forms and correspondence impact. This analysis considered the current paper-based forms being used and the impact of eliminating these forms, altering the content, or changing the media/format of the form.

5, 7-10, 12	PREPARE BUDGET INFORMATION
<p><i>Description of the Affected Process (es):</i></p> <p>Update of expenditures, baseline adjustments, revenues, and position/PY cost estimates, and program narrative currently included in the Governor’s Budget (galley/salaries and wages supplement) and the May Revision.</p>	
<p><i>Current Form or Correspondence:</i></p> <ul style="list-style-type: none"> • Schedule 10s • Planning Estimate Worksheets • Governor’s Budget Galley • Schedule 10Rs • PYS Worksheets • Salaries and Wages Galley 	
	Change Description

5, 7-10, 12	PREPARE BUDGET INFORMATION	
Purpose	Collect budget data directly through BIS rather than hardcopy.	
Content	Consolidate the collection of budget data to eliminate the redundancy. Fiscal data will be collected at the lowest possible level and applied to the various budget documents based on business rules.	
Method/Format (electronic, web, etc)	Electronic interface will support data collection from SCO, CalSTARS, and spreadsheets. Web-based input screens will be used for direct data entry into BIS.	
Disposition	N/A	
Resource Needed		Dependencies
<ul style="list-style-type: none"> • Workgroups composed of representatives from CalSTARS, SCO, Finance, departments 		<ul style="list-style-type: none"> • Agreements by the departments to use BIS.

6, 12, 46-47, 50-55	BUDGET CHANGE REQUESTS	
Description of the Affected Process (es):		
Receipt of budget changes requests currently received in hardcopy during the budget development process in both the fall and spring and budget administration process. Departments may be required to enter supporting information directly into BIS.		
Current Form or Correspondence:		
<div><div><ul style="list-style-type: none">• Budget Change Proposals• Budget Revisions• Executive Orders</div><div><ul style="list-style-type: none">• Finance Letters Requests• Section Letters• Legislative Notification Letters</div></div>		
	Change Description	
Purpose	Collect budget data directly through BIS rather than hardcopy. Notifications to the Legislature, SCO and departments will be distributed electronically through BIS.	
Content	None anticipated.	
Method/Format (electronic, web, etc)	Web-based input screens will be used for direct data entry into BIS. Supporting documentation will be associated with corresponding budget adjustment and stored in BIS.	
Disposition	N/A	
Resource Needed		Dependencies
<ul style="list-style-type: none">• Workgroups composed of representatives from CalSTARS, SCO, Finance, departments, Legislature		<ul style="list-style-type: none">• Agreements by the departments and the Legislature to use BIS.

11, 15, 24, 37	BUDGET BILL LANGUAGE SHEETS	
<i>Description of the Affected Process (es):</i>		
Prepare and update the Budget Bills to reflect the proposed Governor’s Budget, Legislative Subcommittee actions (Senate and Assembly), and Conference Committee actions. Update the enrolled Budget Bill to reflect vetoes.		
<i>Current Form or Correspondence:</i>		
<div><div><ul style="list-style-type: none">• Budget Bill Language Sheets• Dollar Amendment Pages (Change Book)</div><div><ul style="list-style-type: none">• Final Budget Summary</div></div>		
	Change Description	
Purpose	Collect Budget Bill data directly through BIS rather than hardcopy, including veto information.	
Content	Compiling Budget Bill data, both fiscal and narrative, from BIS to produce the Senate and Assembly version of the Budget Bill and the Final Budget Summary, which reflect vetoes as applied to the enrolled Budget Bill.	
Method/Format (electronic, web, etc)	Electronic interface will support data exchange between Finance, OSP, and Legislative Counsel. Web-based input screens will be used for direct data entry into BIS.	
Disposition	N/A	
Resource Needed		Dependencies

11, 15, 24, 37	BUDGET BILL LANGUAGE SHEETS	
<ul style="list-style-type: none">• Workgroups composed of representatives from Finance, OSP, and Legislative Counsel		<ul style="list-style-type: none">• Agreement between Legislative Counsel and Finance to exchange Budget Bill information electronically rather than the current manual process.

13-14, 22-23	RECORD LEGISLATIVE ACTIONS	
<i>Description of the Affected Process (es):</i>		
Record Legislative Subcommittee actions (Senate and Assembly) to revise the proposed Budget Bill. Departments may be required to enter supporting information directly into BIS.		
<i>Current Form or Correspondence:</i>		
<div><div><ul style="list-style-type: none">• Change Book Worksheets• Schedule 10Rs</div><div><ul style="list-style-type: none">• Dollar Amendment Pages (Change Book)</div></div>		
	Change Description	
Purpose	Identify/record all Legislative changes electronically through BIS rather than hardcopy. Changes will be available electronically through BIS.	
Content	None anticipated.	
Method/Format (electronic, web, etc)	Web-based input screens will be used for direct data entry into BIS. Authorized users can access budget data via the Web.	
Disposition	N/A	
Resource Needed		Dependencies
<ul style="list-style-type: none">• Workgroups composed of representatives from Finance, departments, Legislature, and LAO.		<ul style="list-style-type: none">• Agreements by the departments and the Legislature to use BIS.

18	PREPARE LAO REBUTTAL	
<i>Description of the Affected Process (es):</i>		
Prepare Finance rebuttals to the LAO’s analysis of the Budget Bill. Departments may be required to enter supporting information directly into BIS.		
<i>Current Form or Correspondence:</i>		
<ul style="list-style-type: none">LAO Rebuttal Form		
		Change Description
Purpose	Prepare rebuttal directly through BIS rather than current macro process. Rebuttals will be available electronically for inclusion in testimony notes.	
Content	None anticipated.	
Method/Format (electronic, web, etc)	Web-based input screens will be used for direct data entry into BIS.	
Disposition	N/A	
Resource Needed		Dependencies
<ul style="list-style-type: none">N/A		<ul style="list-style-type: none">None

20	PREPARE CONFERENCE POSITION PAPERS/AGENDA	
<i>Description of the Affected Process (es):</i>		
Prepare Finance position papers for all budget issues in Conference and the conference agenda. Departments may be required to enter supporting information directly into BIS.		
<i>Current Form or Correspondence:</i>		
<div>• Conference Position Paper</div> <div>• Conference Agenda</div>		
	Change Description	
Purpose	Prepare conference position papers directly through BIS rather than current word template. Prepare conference agenda directly through BIS. Position papers will be merged with the conference agenda and available electronically.	
Content	Compile agenda and position papers based on differences between Senate and Assembly actions.	
Method/Format (electronic, web, etc)	Web-based input screens will be used for direct data entry into BIS.	
Disposition	N/A	
Resource Needed		Dependencies
<div>• N/A</div>		<div>• Legislature will use BIS to prepare the conference agenda</div>

21	RECORD CONFERENCE HEARING ACTIONS	
Description of the Affected Process (es):		
Record high-level Conference actions. Analysts will utilize notes to provide the detailed information regarding Conference actions in BIS. Departments may be required to enter supporting information directly into BIS.		
Current Form or Correspondence:		
<div><div><ul style="list-style-type: none">• Conference Agenda• Change Book Worksheets• Schedule 10Rs</div><div><ul style="list-style-type: none">• Dollar Amendment Pages (Change Book)</div></div>		
	Change Description	
Purpose	Record high-level conference actions directly through BIS to the extent possible rather than current manual process. Notes recorded in BIS will be immediately available electronically, eliminating the hard copy distribution of notes.	
Content	None anticipated	
Method/Format (electronic, web, etc)	Web-based input screens will be used record actions into BIS.	
Disposition	N/A	
Resource Needed		Dependencies
<ul style="list-style-type: none">• Workgroups composed of representatives from Finance, and Legislative staff.		<ul style="list-style-type: none">• Committee rooms in the Capitol will be wired for remote access.

28-30	PREPARE VETO RECOMMENDATIONS	
<i>Description of the Affected Process (es):</i>		
Recommendations regarding legislative augmentations or base vetoes will be recorded directly in BIS. BIS data will be used to prepare agendas for veto decision meetings.		
<i>Current Form or Correspondence:</i>		
<ul style="list-style-type: none">Veto Tracking Spreadsheets		
	Change Description	
Purpose	Record veto recommendations directly through BIS.	
Content	None anticipated.	
Method/Format (electronic, web, etc)	Web-based input screens will be used to record recommendations and decisions in BIS.	
Disposition	N/A	
Resource Needed		Dependencies
<ul style="list-style-type: none">N/A		<ul style="list-style-type: none">None

31	PREPARE VETO MESSAGE	
Description of the Affected Process (es):		
Prepare individual veto messages directly in BIS, which will result in a consolidated veto message package.		
Current Form or Correspondence:		
<div><div>Veto Message Macro</div><div>Veto Message Transmittal Macro</div></div>		
	Change Description	
Purpose	Prepare veto message directly through BIS for inclusion in various budget documents.	
Content	None anticipated.	
Method/Format (electronic, web, etc)	Web-based input screens will be used for veto message development and approval.	
Disposition	N/A	
Resource Needed		Dependencies
<div>Veto Message Macro</div>		<div>None</div>

41-43, 45	DRILLS	
Description of the Affected Process (es):		
Gather specified information to produce reports for various drills, such as cash flow, multi-year projections, and SAL calculations, as needed.		
Current Form or Correspondence:		
<ul style="list-style-type: none">• Various Spreadsheets		
	Change Description	
Purpose	Gather specified information directly through BIS for inclusion in standard drills, such as cash flow, multi-year projections, and SAL calculations, as needed.	
Content	None anticipated.	
Method/Format (electronic, web, etc)	Web-based input screens will be used to collect specific information for various drills, such as cash flow, multi-year projections, and SAL calculations. Electronic interfaces will also support the transfer of data where applicable.	
Disposition	N/A	
Resource Needed		Dependencies
<ul style="list-style-type: none">• Workgroups composed of representatives from CalSTARS, SCO, Finance, departments		<ul style="list-style-type: none">• Agreements by the departments to use BIS.

ORGANIZATION IMPACT

The organization impact analysis explored changes that affect the current organization of Finance implied by the “To-Be”, with a focus on roles and responsibilities, tools and technology, interactions, skills and training needed, as well as any dependencies needed to effectively implement the change.

The BSDU BPR project has devoted a considerable effort to redefining processes for the new BIS, recognizing that new technology, plus redesigned processes is fundamental to project success. Moving from an environment of checking, reconciliation, keeping duplicates of supporting documentation, and transitioning to trusting electronic documentation will be a significant change for Finance. The organizational structure of Finance must reinforce this change.

This analysis looked at the following Finance organizational entities:

- Budget Units
- Unit Management
- Central Unit
- Executive Office
- Information Services Unit

BUDGET UNITS

A Budget Unit consists of staff in an organizational entity within Finance that deals with budget issues. As defined, the Budget Unit could also include TIRU, TOSU, PRU, Central Unit, etc.

Implications of the Change:

Roles and Responsibilities:

- Shift data entry functions for initial budget change requests from Budget Units to departments.
- Budget Units will assume full responsibility for the review of budget information for completeness and accuracy, minimizing the second level review currently performed by Financial Operations.
- No significant changes to role of Budget Units in analyzing budget change requests, making recommendations, recording decisions, and tracking issues.

Tools and Technology:

- Single system with broad functionality including workflow, issue management, document management, remote access, etc.
 - ✓ Eliminates the need for manual posting and comping and reconciliation of multiple data sources.
 - ✓ Provides on-line access to both current and historical information. Search capabilities will be available to assist in the retrieval of this information.
 - ✓ Reduces reliance on paper and associated manual work necessary to handle the exchange of data between departments and Finance and the packaging and forwarding of budget information.
 - ✓ Supports electronic document/issue and decision tracking and eliminates manual tracking logs.
 - ✓ Validates data and supporting documentation at the point closest to entry into

BUDGET UNITS

A Budget Unit consists of staff in an organizational entity within Finance that deals with budget issues. As defined, the Budget Unit could also include TIRU, TOSU, PRU, Central Unit, etc.

BIS against a set of business rules and edits.

- Sophisticated report writer tool that combines fiscal information with narrative information to produce various budget documents and to respond to drills/ad hoc report requests.

Interactions:

- No change with interactions between Budget Units and departments; will continue to advise departments on budget processes and policy issues consistent with guidelines issued and maintained by the Central Unit.
- BIS will facilitate communication between (1) Finance and departments, (2) units within Finance, and (3) budget units and Central Unit. For example, BIS will automatically send alerts and notifications indicating current status and approval of work products.

New Skills and Training Needed:

- BIS Usage: Skills and training associated with using a single continuous integrated system to support the analytical functions and decision process.
 - ✓ Issue Processing: Training associated with the use of workflow functionality. This includes the use of automatic system alerts, notifications, routing, approvals, electronic signatures, etc.
 - ✓ Business Intelligence Tools: Training associated with the use of tools that support the analytical processes.
 - ✓ Reporting: Training associated with generating both standard and ad hoc reports and understanding how reports are used to support analytical functions

BUDGET UNITS A Budget Unit consists of staff in an organizational entity within Finance that deals with budget issues. As defined, the Budget Unit could also include TIRU, TOSU, PRU, Central Unit, etc.	
and the decision making process. <ul style="list-style-type: none"> Business Process Change: Training to assist Budget Units in changing business processes from multiple systems to a single system resulting from the implementation of BIS. 	
New Equipment	Dependencies
<ul style="list-style-type: none"> Conference Committee note takers will have a laptop. 	<ul style="list-style-type: none"> Conference rooms in the Capitol will be wired for remote access. Effective change management will be implemented to facilitate the transition between current processes and new processes. Adequate training must be provided on the new processes, including at least two designated super users of BIS in each Budget Unit. Each Budget Unit must have at least one participant on the implementation team.

UNIT MANAGEMENT

Unit Management includes the Principal Program Budget Analyst, the Assistant Program Budget Manager, and the Program Budget Manager or a combination thereof in a Budget Unit.

Implications of the Change:

Roles and Responsibilities:

- Unit Management will continue to have responsibility to review budget information for completeness and accuracy; however, quality control/quality assurance functions currently performed by Financial Operations will be the primary responsibility of Unit Management.
- No significant changes to role of unit management in reviewing budget analyst work products; however, Unit Management will utilize new tools and technology.

Tools and Technology:

- Single system with broad functionality including workflow, issue management, document management, remote access, etc.
 - ✓ Provides ready access to status of various work items to manage resource allocation to ensure deadlines are met.
 - ✓ Simplifies validation of data; majority of information is validated through system edit checks, automatic calculations, and application of established business rules.
 - ✓ Provides on-line access to both current and historical information. Search capabilities will be available to assist in the retrieval of this information.
 - ✓ Reduces reliance on paper when reviewing/approving budget information; decisions will be captured electronically, including use of electronic signatures.
 - ✓ Supports electronic document/issue and decision tracking; eliminates manual

UNIT MANAGEMENT

Unit Management includes the Principal Program Budget Analyst, the Assistant Program Budget Manager, and the Program Budget Manager or a combination thereof in a Budget Unit.

tracking logs and reduces/eliminates the need for multiple spreadsheets currently used to track issues and make decisions.

Interactions:

- No change with interactions between Unit Management and departments; will continue to advise departments, when necessary, on budget processes and policy issues consistent with guidelines issued and maintained by the Central Unit.
- BIS will facilitate communication between (1) Finance and external entities such as departments, Legislature, Legislative Analyst's Office, (2) units within Finance, (3) budget analysts and Unit Management, (4) Unit Management and Central Unit, and (5) Unit Management and Executive Office. For example, BIS will automatically send alerts and notifications indicating current status and approval of work products.

New Skills and Training Needed:

- **BIS Usage:** Skills and training associated with using a single continuous integrated system to support the analytical functions and decision process.
 - ✓ **Issue Processing:** Training associated with the use of workflow functionality. This includes the use of automatic system alerts, notifications, routing, approvals, electronic signatures, etc.
 - ✓ **Business Intelligence Tools:** Training associated with the use of tools to support management activities.

UNIT MANAGEMENT Unit Management includes the Principal Program Budget Analyst, the Assistant Program Budget Manager, and the Program Budget Manager or a combination thereof in a Budget Unit.	
<ul style="list-style-type: none"> ✓ Reporting: Training associated with generating both standard and ad hoc reports and understanding how reports are used to support management activities and the decision making process. • Business Process Change: Training to assist Unit Management in changing business processes resulting from the implementation of BIS. 	
New Equipment	Dependencies
<ul style="list-style-type: none"> • None 	<ul style="list-style-type: none"> • Clearly articulated and continuing commitment from Executive Management to implement new business processes necessitated by BIS. • Effective change management will be implemented to facilitate the transition between current processes and new processes. • Adequate training must be provided on the new processes. • Unit Management must be represented on the implementation team.

CENTRAL UNIT

The Central Unit includes activities currently performed by Financial Operations, Investable Resources, and the Information Design Unit. Additionally, the Central Unit will do system administration functions currently performed in Information Services. In addition to their department-wide coordination role, the Central Unit also functions as a Budget Unit when assigned primary responsibility for a department or agency.

Implications of the Change:

Roles and Responsibilities:

- The Central Unit will have the traditional budget operation support responsibility such as department-wide coordination of drills and preparation of budget summary information.
- The Central Unit will provide technical guidance to Budget Units and Unit Management related to addressing policy issues.
- The responsibility for the review of budget information for completeness and accuracy will not reside in the Central Unit. Budget Units and enhanced system functionality will address these areas.
- The Central Unit will provide BIS and budget process training to internal and external staff.
- The Central Unit will have the following new responsibilities:
 - ✓ Operational help desk to update tables, codes, and values that support daily BIS usage. Help desk activities will also include the centralized support for system questions/issues and the administration of user IDs and passwords for internal and external users.
 - ✓ Support the development, maintenance, and deployment of standard, predefined BIS reports and publications.
 - ✓ Provide information for one-time, ad hoc data requests that need to be met quickly.

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- ✓ Function as the Executive Office liaison and may be co-located in the Capitol to assist in report generation, monitor workflow items that require Executive Office action, and provide assistance related to general use/operation of BIS, as necessary.
- The Central Unit will no longer be responsible for the following:
 - ✓ Data entry of expenditure, revenue, and position information into budget systems. Expenditure, revenue, and position information will come from various interfaces, be entered by departments, or be entered by budget units.
 - ✓ Compilation and distribution of hard copy documents, such as budget bill language sheets, conference notes, executive orders, Section Letters, etc. BIS will electronically compile and distribute this information based on established business rules and workflow processes.

Tools and Technology:

- Replacement of multiple legacy systems and spreadsheets with a single system with broad functionality including workflow, issue management, document management, report development capability, etc.,
 - ✓ Shifts centralized roles and responsibilities to budget units, unit management, and departments, where appropriate.
 - ✓ Validates data and supporting documentation at the point closest to entry into BIS against a set of business rules and edits.
 - ✓ Provides a simplified process to update BIS tables, codes, values, reports, to quickly meet changing business needs/requirements i.e., changes in law,

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- policy, fiscal environment, Administration.
- ✓ Minimizes the need for manual comping and reconciliation of multiple data sources.
- ✓ Provides on-line access to historical information.
- ✓ Reduces reliance on paper and associated manual work necessary to package and forward budget information, i.e., Finance Letters, veto messages, and budget bill language sheets, to external stakeholders.
- ✓ Supports electronic issue and decision tracking and eliminates manual tracking logs.
- Sophisticated report writer tool that combines fiscal information with narrative information to produce various budget publications and to respond to drills/ad hoc report requests.

Interactions:

- Continue to issue and maintain guidelines and instructions regarding budget processes.
- Increased interaction with departments resulting from the responsibility for staffing the help desk and centralized administration of user IDs and passwords for internal and external entities.
- BIS will facilitate communication between (1) Finance and external entities such as departments, Legislature, Legislative Analyst's Office, (2) units within Finance, (3) Unit Management and Central Unit, and (4) Unit Management and Executive Office. For example, BIS will package and distribute final work

CENTRAL UNIT

The Central Unit includes activities currently performed by Financial Operations, Investable Resources, and the Information Design Unit. Additionally, the Central Unit will do system administration functions currently performed in Information Services. In addition to their department-wide coordination role, the Central Unit also functions as a Budget Unit when assigned primary responsibility for a department or agency.

products.

New Skills and Training Needed:

- BIS Usage: Skills and training associated with using a single continuous integrated system to support budget processes.
 - ✓ System Administration: Training associated with the maintenance of BIS tables, codes, values, reports, to quickly meet changing business needs/requirements and administration of user IDs and passwords for internal and external entities.
 - ✓ Training for Trainers: Obtain training skills needed to train budget units and departments to use BIS.
 - ✓ Business Workflow: Training associated with the use of workflow functionality. This includes the use of automatic system alerts, notifications, routing, approvals, electronic signatures, etc.
 - ✓ Business Intelligence Tools: Training associated with the use of tools that support the analytical processes.
 - ✓ Reporting: Training associated with generating both standard and ad hoc reports and understanding how reports are used to support analytical functions and the decision making process. Training will also be needed regarding the use of the sophisticated report writer tool that combines fiscal information with narrative information to produce various budget publications.
- Business Process Change: Training to assist Central Unit in changing business processes from multiple systems to a single system resulting from the implementation of BIS.

New Equipment	Dependencies
<ul style="list-style-type: none">• New equipment may be required to support the publication process.	<ul style="list-style-type: none">• Effective change management will be implemented to facilitate the transition between current processes and new processes.• Adequate training must be provided on the new processes.• Central Unit must be actively involved as core members of the implementation team due to their key roles in BIS.• Ability to combine functions currently performed by Financial Operations, Investable Resources, the Information Design Unit. Additionally, the Central Unit will do system administration functions currently performed in Information Services.

EXECUTIVE OFFICE

The Executive Office provides high-level management and direction for the Department of Finance and is comprised of the Director, Chief Deputy Director, Deputy Directors, and Chief Counsel. As the Governor's chief fiscal policy advisor, the Executive Office acts as liaison to the Governor's Office regarding issues related to the overall financial and business policies of the State.

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Implications of the Change:

Roles and Responsibilities:

- No significant changes to role of the Executive Office related to the budget development and administration processes; however, the Executive Office may utilize new tools and technology.

Tools and Technology:

- Single system with broad functionality including workflow, issue management, document management, remote access, etc.
 - ✓ Reduces reliance on paper when reviewing/approving budget information; decisions will be captured electronically, including use of electronic signatures.
 - ✓ Provides ready access to budget information, such status of various work items, decision records, consolidated reports, and general fund updates.
 - ✓ Provides on-line access to both current and historical information. Search capabilities will be available to assist in the retrieval of this information.

Interactions:

- No change with interactions.
- BIS will facilitate communication between (1) Finance and external entities such as Governor's Office, agencies/departments, Legislature, Legislative Analyst's Office, (2) units within Finance, and (3) Unit Management and Executive Office. For example, BIS will automatically forward approved Section Letters to the Legislature.
- Coordinate with the Central Unit's Executive Office liaison co-located in the Capitol to assist in report generation, monitor workflow items that require Executive Office action, and provide assistance related to general use/operation of BIS, as necessary.

<p>EXECUTIVE OFFICE</p> <p>The Executive Office provides high-level management and direction for the Department of Finance and is comprised of the Director, Chief Deputy Director, Deputy Directors, and Chief Counsel. As the Governor's chief fiscal policy advisor, the Executive Office acts as liaison to the Governor's Office regarding issues related to the overall financial and business policies of the State.</p>	
<p><i>New Skills and Training Needed:</i></p> <ul style="list-style-type: none"> • BIS Overview: High-level overview of the functionality included in BIS such as workflow, electronic signatures, document management, reports and queries, etc. • Business Process Change: Training to assist the Executive Office in changing business processes resulting from the implementation of BIS. 	
New Equipment	Dependencies
<ul style="list-style-type: none"> • None 	<ul style="list-style-type: none"> • Clearly articulated and continuing commitment from Executive Management to implement new business processes necessitated by BIS. • Effective change management will be implemented to facilitate the transition between current processes and new processes.

INFORMATION SERVICES UNIT

The Information Services Unit as the Department's information technology provider will be responsible for on-going system maintenance and configuration management of BIS.

Implications of the Change:

Roles and Responsibilities:

- The Information Services Unit will have a system maintenance and configuration management role/responsibility related to BIS.
- Maintenance of a secure infrastructure for Finance applications, including BIS, will continue to be the responsibility of the Information Services Unit.
- The Information Services Unit will provide technical guidance and advice regarding BIS including assistance with the development and delivery of complex reports and special data requests.
- The Information Services Unit will not have responsibility for the following activities which have previously been part of their services:
 - ✓ Maintenance to tables, codes, and values that support daily BIS usage and the administration of user IDs and passwords for internal and external users.
 - ✓ Support the development, maintenance, and deployment of standard, predefined BIS reports and publications.

Tools and Technology:

- Replacement of multiple legacy systems with a single system to support budget processes.
- Sophisticated report writer tool that combines fiscal information with narrative information to produce various budget publications.

Interactions:

- Interactions between the Information Services Unit and other units within Finance

INFORMATION SERVICES UNIT

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and the State data center will remain essentially the same with one exception; the administration of user IDs and passwords for BIS.

- The Information Services Unit may have interactions with external BIS users related to various technical requirements of BIS.

New Skills and Training Needed:

- Skills and training associated with maintaining and supporting BIS and its technical infrastructure.

INFORMATION SERVICES UNIT The Information Services Unit as the Department's information technology provider will be responsible for on-going system maintenance and configuration management of BIS.	
New Equipment	Dependencies
<ul style="list-style-type: none">• None	<ul style="list-style-type: none">• Ability to hire and retain qualified personnel to support and maintain BIS.• Adequate training must be provided on the new system and technologies.• Effective change management will be implemented to facilitate the transition between current technology and new technology.• Information Services Unit must be actively involved as core members of the implementation team due to their key roles in BIS.